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ABSTRACT

The several components of this package on the evaluation of teachers and educational programs are designed to help affiliates deal constructively with the subject. The issue of evaluation continues to intensify as state legislatures increasingly mandate that evaluation systems be imposed throughout the state to measure the performance of teachers and other professionals in education. The emerging evaluation systems, in essence, hold teachers accountable for some predetermined standards, such as student achievement and/or local codes of behavior, and thus endanger the status and security of employment and the free exercise of mature professional judgment. The components of this package respond to this danger. They clarify some of the issues that affiliates must confront and then suggest action approaches for consideration in improving existing evaluation systems. Some of the components of the package are a) a copy of the National Education Association's resolution on evaluation, b) an introductory paper which develops a three-part framework for evaluation, c) a briefing memo which gives teachers an overview of the subject of evaluation and raises questions to be considered in dealing with the issue, d) graphics and a worksheet for use in workshops on evaluation, e) a draft of a paper used in setting direction for local action, f) three papers dealing with the legal aspects of evaluation and due process in collective bargaining and g) an annotated bibliography on teacher and school program evaluation. (Author/DDC)

information for professional excellence

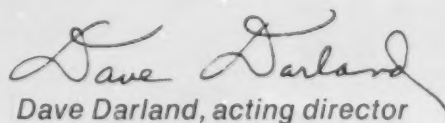
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Through its program of Instruction and Professional Development, the NEA has a growing commitment to professional excellence, a commitment that can only be realized by well-informed members who ultimately will take the necessary, concerted action to achieve this goal. But information, knowledge, and understanding are essential to the success of any action program to reach this goal. Accordingly, documents such as this have been prepared for a better informed membership.

At a time when information has become the currency of contemporary society, our ability to gather, handle, and process this information will to a large degree determine the direction of our profession and the quality of its policy.

A major activity of the NEA's program for Instruction and Professional Development, therefore, has to do with the "processing" of information in a continuing effort to provide members with a synthesis of the best, the most reliable, and the most useful information related to the goal of professional excellence.

Your comments are invited on this document and on other IPD program activities. Also, your suggestions of other information topics for future consideration will be most welcome. For more information about our program on professional excellence, write or call Instruction and Professional Development, National Education Association, 1201 16th Street, N.W., Washington, D. C. 20036. Phone: (202) 833-4337.


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THE EVALUATION OF TEACHERS

This document has been prepared by the Instruction and Professional Development Staff of the National Education Association. It represents one part of an information package on this topic.

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PREFACE

The several components of this package on the evaluation of teachers and educational programs are designed to help affiliates deal constructively with the subject. The issue of evaluation continues to intensify as state legislatures increasingly mandate that evaluation systems be imposed throughout the state to measure the performance of teachers and other professionals in education. The mandates pay little or no attention to either an assessment of available human and material resources or the conditions under which teachers work. These emerging evaluation systems, in essence, hold teachers accountable for some predetermined standards, such as student achievement and/or local codes of behavior. In many instances such predetermined standards or criteria endanger the status and security of employment and the free exercise of mature professional judgment which teachers, like other professionals, should be afforded. The components of this package respond to this danger. They state and clarify some of the issues that affiliates must confront and then suggest action approaches for the membership to consider in improving existing evaluation systems.

COMPONENTS OF THE PACKAGE AND
HOW THEY CAN BE USED

- The first component, NEA Resolution C-6, "Evaluation and Subjective Ratings," has given impetus for programs at the national level and direction for local association involvement.
- The "Introduction" develops a three-part framework for evaluation. It was written by Bernard McKenna of the IPD staff whose contention is that evaluation of professionals cannot be isolated from the ongoing evaluation of human and material resources for the whole educational enterprise. Other issues deal with "who shall evaluate" and the "purposes and objectives of evaluation."
- The IPD Briefing Memo, "The Evaluation of Teachers," is one of a continuing series. The purpose of each Memo is to provide teachers with information on critical issues in capsule form. The Memo in this package gives an overview of the subject of teacher evaluation and raises important questions that members will want to consider as they deal with the issue. It may be duplicated and distributed to members at the local level.

- The graphic entitled "Components for Evaluation: Program, Performance, Outcomes" and accompanying audio cassette (separate enclosure) are for use in workshop settings to initiate and promote membership involvement to improve existing evaluation systems or to develop new systems. The graphic copy is suitable for making a transparency and for duplicating so that each person in a session has a copy. The audio cassette is a discussion about the components illustrated in the graphic.

Note that there are three other related graphics: "Paradigm of Components for Program and Performance Assessment," "Who Shall Evaluate?" and "Some Types of Evaluation Systems." These are essentially self-explanatory and can be duplicated and/or made into transparencies. For further explanation, see page 27.

- The sheet entitled "Questions for Determining the Effectiveness of an Evaluation System" is for workshop use in criticizing existing evaluation instruments and procedures with which the workshop participants are familiar. Activities using this paper can help determine weaknesses and point up areas where change is needed.

- For a more in-depth and critical look at the total evaluation system of a school district, use "The Early Warning Kit on the Evaluation of Teachers" (separate enclosure). Its purposes are to stimulate discussion on ways teachers are being evaluated, assess the appropriateness of instruments being used, and look at teacher accountability, due process, and proper use of evaluation results. The Kit includes directions for one- and two-hour workshops.
- Another item for use in setting direction for local action is "Stages in Developing an Evaluation Program."¹ Depending on where an affiliate is and how it chooses to become involved in adapting or developing an evaluation system, this paper offers options for appropriate action.
- Three components of the package deal with the legal aspects of evaluation and due process in collective bargaining. They are "Illustrative Article XVI, Teacher Evaluation"; "Gouverneur, New York (Procedural Agreements)"; and "Evaluation and Due Process: Legal Aspects," by Everette De Vaughn.

¹This paper is in working draft form. After assessing its usefulness in your own situation, you are invited to send suggestions for revision and use to Bernard McKenna, NEA-IPD.

The illustrated contract language has been expertly developed and in some instances, tested.² Obviously, not all items and references are significant or useful in all situations where the evaluation of professionals in education is a negotiable item. Appropriate contract language will vary depending upon district, county, and state policies, mandates, and laws governing collective bargaining, negotiations, and specific provisions of a contract.

- In "A Context for Teacher Evaluation," McKenna presents a framework complementary to that offered in his introduction to this package.
- The IPD Information document entitled "Evaluation of Teacher Performance and School Programs: An Annotated Bibliography" was compiled in an effort to help affiliates and their members examine the issues in more detail.

²For legal references and citations of cases that have been tested in state courts, see Wollett, Donald H., and Chanin, Robert H. *The Law and Practice of Teacher Negotiations*. Bureau of National Affairs. 1974 Supplement, "Illustrative Article XVII, Teacher Evaluation."

NEA Continuing Resolution
C-6. Evaluation and
Subjective Ratings

The National Education Association believes that it is a major responsibility of educators to participate in the evaluation of the quality of their services. To enable educators to meet this responsibility more effectively, the Association calls for continued research and experimentation to develop means of objective evaluation of the performance of all educators, including identification of (a) factors that determine professional competence; (b) factors that determine the effectiveness of competent professionals; (c) methods of evaluating effective professional service; and (d) methods of recognizing effective professional service, through self-realization, personal status, and salary.

The Association also believes that evaluations should be conducted for the purpose of improvement of performance and quality of instruction offered to pupils, based upon written criteria and following procedures mutually developed by and acceptable to the teacher association, the administration and the governing board.

The Association insists that the evaluation program must recognize the rights of the educator who is evaluated. These include the right to:

- a. Information concerning the evaluation procedure of the school district or institution.
- b. Open evaluation without subterfuge and advance notice of evaluation visits with discussion of the teacher's goals and methods.
- c. Evaluation at least in part by peers skilled in the teacher's professional or subject area.
- d. Consultation in timely fashion after a formal evaluation visit and receipt of and opportunity to acknowledge in writing any formal evaluation report prior to placement in a personnel file.
- e. Evaluation reports which assess strengths, note progress, indicate remaining deficiencies and suggest specific measures the teacher can take to overcome indicated deficiencies.
- f. Participation in a professional development program including such activities as appropriate

counseling and supportive services, released time for in-service work, and opportunity to observe or seek and give assistance to other teachers in classroom settings other than one's own.

- g. Access to all items in the educator's personnel file (except privileged communications relating to his initial employment in the school system or college or university), review of material prior to placement in the file, opportunity to attach a written response, and access to a procedure to remove inappropriate, unfounded material.
- h. Supervision which is constructive, provides an opportunity to correct deficiencies, takes into account the variety of learning and teaching environmental factors, and emphasizes career development of the professional educator.

The Association believes that examinations such as the National Teacher Examination must not be used as a condition of employment or a method for evaluating educators in service for purposes such as salary, tenure, retention, or promotion.
(69, 70, 72, 73)

INTRODUCTION

It has been said that the development of valid and reliable evaluation systems for assuring accountability of the educational enterprise will be more difficult than getting to the moon. It may be even more complex than that because its achievement will require the accountability of many others in addition to teachers: supervisors for creating a climate conducive to professional success and growth; boards of education and communities for providing resources and working conditions essential to assure that all children learn; and parents for sending the student to school physically and emotionally prepared to learn and for providing a follow-up climate at home that will preserve, enhance, and build on school learning. In this context, the evaluation of educators becomes but one aspect of the broader concept of accountability which has application both in and out of the educational establishments.

A Framework for Evaluation

Several paradigms have been suggested for evaluation. One that is comprehensive yet easily understood is based on aspects to be measured and has likely been adapted from business and industry. It is a three-category delineation: program and conditions, staff performance, and student outcomes.

Program and conditions refers to the resources (both material and human) and conditions required for achieving

goals and producing high-quality instruction. One such measure that has been employed with some success over the years is dollars spent per pupil in a school system; another is numbers of professional staff per 1,000 students; yet another is status characteristics of the staff--years of education, degrees held, and so on. Also included in this category are such things as material resources (books, technological devices, and the like), special services (psychological, health, remedial), time to teach, decision-making authority of teachers on curriculum matters, opportunity for in-service education, and physical facilities such as buildings. Input measures have not typically been used to evaluate individual educators, although some of the status characteristics studies of teachers tend in that direction.^{1,2}

Staff performance has to do with those activities carried out by educators either in direct interaction with students or which are believed to contribute indirectly to student learning. Most often measured in this category are teacher classroom behaviors such as lecturing, asking questions, and summarizing. Recent emphasis has been on evaluating the teaching process, on the part of both

¹Ryans, David G. *Characteristics of Teachers--Their Description, Comparison, and Appraisal: A Research Study*. Washington: American Council on Education, 1960. 416 pp.

²McKenna, Bernard H. *Staffing the Schools*. New York: Bureau of Publications, Teachers College, Columbia University, 1965.

researchers and developers of evaluation systems and school administrators using homemade check lists for classroom observation.

Student outcomes used in the educational context refers to what students know, understand, are able to do, or believe. Measures of this sort attempt to assess one or more of these student learnings which are expected to result from school experience.

Product measures have long been applied to students in the form of achievement tests, and more recently through such affectively oriented devices as personality and attitude inventories. Measures of student achievement in subject matter content continue to be highly important indexes of the school's success in the minds of the public. Concurrence on the part of both public and profession that the promotion of cognitive learnings is only one of the school's important priorities has not altered this priority much in the view of parents. The literature begins to reflect an emphasis on *performance-type* measures for evaluating student outcomes as compared to paper-and-pencil tests, although performance outcomes themselves may be reflected in the conventional verbal skills of reading and writing.

Obviously, *program and conditions, staff performance* and *student outcomes* are closely and inextricably related. And wholesomeness in one area might be expected to flow from the other. That is, if the *condition* of professional

staff is of high quality, *staff performance* might also be expected to be superior and the resultant effects on *student outcomes* should then be of high quality.

A difficult problem in educational measurement has been to attribute improved student learnings to one teaching performance or the other. Except for a few specific and limited objectives, no single process or combination of teaching performances has been proved conclusively to result in improved student learning.³ Unquestionably, this is a crucial area for study and development. Until educators can demonstrate successfully that particular performances result in improved learnings, it will continue to be difficult to justify the processes.

In the meantime, and even when good performances have been demonstrated to produce good outcomes, it will be important to continue to value highly the process itself.

The Continued Importance of Process

The long-time argument about the relative emphasis on means and ends becomes relevant in any consideration of evaluation of the process of education. Are the ends with students--what they know or are able to do as a result of schooling--so important that almost any means is justifiable

³Rosenshine, Barak. *Teaching Behaviors and Student Achievement*. New York: Humanities Press, 1971. 229 pp.

in attaining them? Obviously, processes that are unjust, inhumane, or deleterious to health are insupportable. Beyond those, there is the question of the process itself as an entity. After all, most students spend nearly half their active waking time in school over a period of twelve or more years. Should not the processes employed during such a lengthy segment of one's life be characterized by full and self-satisfying living? If, in John Dewey's words, education is life, shouldn't this period be an example of the best of the good life?

A recent survey of several thousand secondary students concluded that millions of youth are not developing an affinity to the democratic process because they do not experience the democratic process to any meaningful degree during their school years. This is a serious indictment. When coupled with other evidences of lack of student involvement in decisions that affect their lives, it should lead to serious consideration of the nature of the process itself as highly important.

When the estimate is taken into account that during their school years students spend about as many hours viewing television as they do attending schools, the process becomes even more crucial. If for twelve years all students' waking hours are spent mostly in school or before the tube, it becomes critical that the process of education assures relevant and fulfilling real-life experiences.

Who Shall Be Involved?

Another framework for considering the evaluation of educators is based on who shall carry it out. As it is now, the evaluation of those who work directly with children (mainly classroom teachers) is almost exclusively conducted by principals or other similar supervisory personnel. Only recently have proposals been made for, and some meager implementation effected on, broader involvement, including peers, students, outside auditing groups, and the community. And self-evaluation has rarely been encouraged as a means of assessing the achievement of goals and improving the educational process.

It would appear that a comprehensive evaluation program would not only employ the multiple criteria of *program and conditions, staff performance, and student outcomes* but would also broadly involve all those who are affected by it. The involvement of several levels and types of personnel in determining purposes, developing procedures, and implementing programs of evaluation would require that infinitely greater priority and resources be given to this activity than almost any school system has achieved. And it would require talented personnel, time, and funds.

The Importance of Clear Objectives

The evaluation of teaching is not likely to be very productive unless those who evaluate understand--and their criteria, processes, and instruments reflect--the educational

purposes in specific situations. Both performance and outcome measures need to be tied directly to the educational purpose at hand. Most evaluation systems have far to go to achieve this state of sophistication. Particularly significant in this respect are the shortcomings of present outcome measures (mainly standardized achievement tests): their overemphasis on the cognitive, their inability to relate learnings to behavior and attitude change, and their doubtful worth as instruments for diagnosis, remediation, and the like.

The literature begins to reflect consideration of performance objectives and criterion-referenced (objectives-referenced) tests as alternatives that will correct some of these deficiencies. But these are not well developed and have been insufficiently tested and tried. Unless they are thoroughly researched and developed and meticulously field-tested and evaluated, they may do little to alleviate the advantages of traditional outcome measures.

When the Moon Has Been Reached, What
Will Be the Configuration?

A summarization of the foregoing points indicates that to reach the millenium in teacher evaluation will require:

1. Employment of multiple criteria: *program and conditions, staff performance, and student outcomes.*
2. Involvement of all those affected in determining purposes and processes, as well as in implementation and interpretation: teachers, administrators,

students, the community, and independent outside auditors.

3. The consideration of the process as a viable end in itself.
4. Agreement on clear, specific, and measurable objectives.
5. Valuing the process as an important entity.

--Bernard H. McKenna

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NATIONAL EDUCATION ASSOCIATION

Briefing



INSTRUCTION AND PROFESSIONAL DEVELOPMENT

January 1974

THE EVALUATION OF TEACHERS

Most adults in the United States have spent many years in school, and today one out of every three people in the country is in school as a student or a teacher, sometimes both. One result of this basically healthy educational immersion is that nearly everyone has a personal and often "expert" opinion about teaching, teachers, and ways to improve schools. Such interest, of course, is essential for the support of public education in a pluralistic and democratic society.

Largely because of their past experience in school, some of these self-appointed educational experts are now leaders in professions other than teaching. And so, the more articulate of these accountants, admirals, businessmen, dentists, lawyers, legislators, longshoremen, and systems analysts have publicly proposed changes they sincerely believe will improve schools. One notorious recent result of this phenomenon is a growing number of state laws calling for teacher evaluation, often as part of larger efforts to make schools accountable. In principle this is neither new nor bad, but difficulties often arise since solutions to this complex problem are usually simple, neat, and wrong.

There is general agreement on the need for some kind of an even-handed, equitable evaluation of teachers and teaching. How else, for example, can decisions be made for individualized continuing professional development? And how can a curriculum, or for that matter a school, be improved without some attention to the quality of instruction?

The Teaching Environment

The last question raises the very important issue of the degree to which the evaluation of a teacher can, or should, be isolated from an evaluation of the system in which that teacher must teach. In its Continuing Resolution (C-6) on the evaluation and subjective rating of teachers the NEA calls for evaluation that will include "factors that determine the effectiveness of competent professionals." Obviously these factors may include such program constraints on a particular teacher as the number of students, quality of curriculum, time to teach, instructional materials, the character of the community, the caliber of school management and supervision, and available opportunities for on-the-job teacher education.

It is increasingly difficult to practice any profession today without adequate tools, support systems, an information network for continuing in-service professional growth, and some agreement about goals. This fact is particularly obvious to public school teachers who sometimes find themselves immersed in a large bureaucratic organization that is unable or unwilling to state clearly its goals and objectives.

Without clear goals, objectives, and well-defined outcomes--outcomes measurable through systems that assess the degree to which they are achieved--the evaluation of the effects of program and (teacher) performance is next to impossible. (1.)

On the complex cause-and-effect aspects of this question, it should be kept clearly in mind that practical strategies for evaluation of the curriculum simply have not been developed. Further, when instructional practice is viewed as an educational system, valid judgment about cause and effect are almost impossible to document, and "the possibilities for systematic evaluation are very few." (2.) There is a marked lack of knowledge about the relationship between teacher behavior and student learning.

Teachers are being evaluated every day despite the facts that 1) it is seldom possible to adequately assess many important parts of the environment in which they must teach, and 2) it is obviously unfair to evaluate teachers in isolation from an assessment of that environment.

Three Parts of Teacher Evaluation

To reduce these complexities to manageable components, McKenna (1.) has developed a three-part model which assumes clearly stated goals, objectives, and well-defined outcomes both for school programs and for teacher evaluation. The three specific dimensions of such an evaluation process are:

1. Program, ranging from economic resources and fiscal effort of the local school district to student characteristics and their readiness to learn;
2. Performance, including knowledge of subject matter, teaching-learning strategies, plus such adjunct activities as planning, evaluating, and community relations; and
3. Learning outcomes, involving the difficult matter of translating stated learning objectives into observable phenomena such as knowledge, behavior, attitude, skill, etc. Plus attention to the fact that the education of students is increasingly shared by agencies beyond the school.

McKenna also suggests that "evaluation be based on multiple indices and involve a wide variety of personnel in the process."

The NEA believes that "educational practitioners at all levels should be involved when school programs are evaluated" (Resolution 73-24). When teachers and their local association leaders participate--as they should participate when and if such evaluation processes have begun--their influence and their public image will be shaped to a large degree by their knowledge and understanding of the many-sided issues of evaluation.

More Questions Than Answers

There is agreement that some kind of teacher evaluation is necessary. There is something less than agreement over the answers to questions such as these:

1. What should be the purpose of teacher evaluation?
2. What will be assessed? In other words, what criteria should be applied in such an evaluation?
3. To what degree can evaluation of a teacher be separate from an evaluation of the instructional program within which that teacher must work?
4. How will the results be used, and by whom?
5. Will results pose a threat to the teacher who is evaluated?
6. To what degree will the teacher being evaluated have involvement in planning and in constructive follow-up activities to improve performance?
7. How long does it take to evaluate a teacher?
8. How will evaluation be done, and how often?
9. Who is qualified to make such an evaluation?
10. Who will evaluate the evaluator?

Even a hurried consideration of these questions -- and you may have more of your own -- will raise a number of fundamental issues for both the teaching profession and the public it serves.

The first question, on purpose, is central and must be carefully considered and clearly answered if the other questions are to make any sense, have a rational purpose, and be something more than a red herring on the local association agenda.

The NEA believes that "it is a major responsibility of educators to participate in the evaluation of the quality of their services . . . for the purpose of improvement of performance and quality of instruction . . ." (Resolution C-6, emphasis added.) Teachers have good reason to be critical -- yes, even militant -- about any other stated or implied

purpose for teacher evaluation. Such a professional stance becomes increasingly reasonable when present efforts to solve the complexities of teacher evaluation are viewed objectively for what they really are today -- hopeful, experimental beginnings that are sometimes constructive and sometimes destructive to the human beings involved.

If more evidence is needed on the present state of such evaluation, a recent survey of all Ohio school administrators indicates their near-unanimous view that persons responsible for evaluating teachers in their school systems lack adequate training for the work. This study, by an independent commission (3.7), reports: "There is little constructive evaluation of experienced teachers in Ohio."

"Evaluation should be something that teachers anticipate and want," says NEA President Helen Wise, "because it gives them a way to look at what they are doing and how they can improve." However, when such evaluation procedures have negative rather than positive purposes -- when evaluation is punitive rather than rewarding, destructive rather than constructive -- then teachers need protection. It is, therefore, essential that any evaluation plan, agreement, or contract give some attention to purpose and that it include sound procedures for due process and grievance machinery. Teacher evaluation -- which, as we have already seen, operates at best on shaky foundations -- must include a process that is fair and humane with justice for all.

If the operational consequences of a school's goals are to be evaluated in human terms and if this evaluation is to move beyond the ingrown rituals of the testing-rating game, a fresh and much more comprehensive approach to the complicated problems of evaluation will be necessary. Evaluation, which is at the heart of educational accountability, will come only at a price, a price that will involve effort, money, time, talent, and thought.

References

1. McKenna, Bernard H. "A Context For Teacher Evaluation." The National Elementary Principal 52: 18-23; February 1973.
2. Ward, Ted W., and Ivey, John E., Jr. "Improvement of Educational Practice." Encyclopedia of Educational Research. Fourth edition. New York: Macmillan Co., 1969. pp. 626-33.
3. Commission on Public School Personnel Policies in Ohio. Teacher Evaluation to Improve Learning. Cleveland: the Commission, 1972. 54 pp.
4. Evaluation of Teacher Performance and School Programs: An Annotated Bibliography. 1974. IPD Doc. 74-2. Available on request from IPD/NEA. (See box below.)

This *Briefing Memo* is a response to requests from members for information on the above topic. It has been prepared by the Instruction and Professional Development staff of the National Education Association as a brief but accurate introduction to this topic for busy teachers and as a resource for readers who wish to pursue the subject in more detail. Except where indicated, the views expressed here do not represent official Association policy. This docu-

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COMPONENTS FOR EVALUATION: PROGRAM, PERFORMANCE, OUTCOMES

CONDITIONS AND PROGRAM	STAFF PERFORMANCE	STUDENT LEARNING OUTCOMES
Community Characteristics • population • economic • social Student Characteristics *** Financial Support Staff Characteristics Number of Staff • teaching load • specialist support • clerical support Time To Teach In-service Curriculum Materials and Media Physical Facilities Decision-Making Power	Subject Matter Knowledge Cognitive • classifying • analyzing • synthesizing Affective • interpersonal skills • group process skills • humaneness Psycho-Motor Other Activities • planning • evaluating • parent relations • community relations	Skills Knowledges Aptitudes Attitudes Personality Mental health Physical health Citizenship Economic sufficiency

Goals and Objectives for Schooling

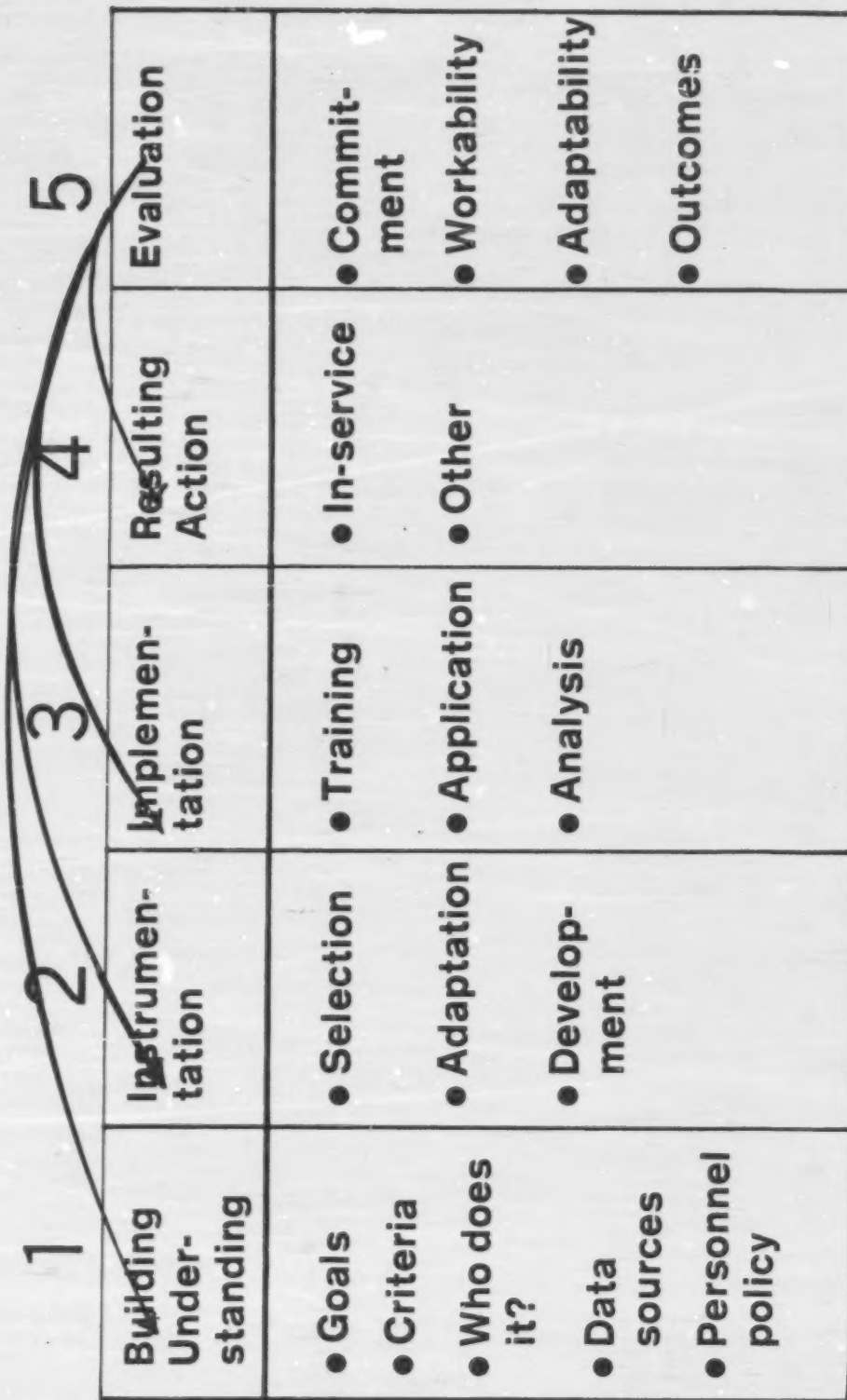
EXPLANATORY NOTE

The artwork page immediately following, "Paradigm of Components for Program and Performance Assessment," points out the factors that should be present to build an effective evaluation system for teacher performance and school programs. The design illustrates the need for a continuous review of the whole evaluation process.

The last two graphics are "Who Shall Evaluate?" and "Some Types of Evaluation Systems." The first is self-explanatory and the second describes a variety of systems that go beyond homemade checklists which are typically used. Among them are commercial systems that have been researched and field tested and are purported to be reliable and valid.* Two audio cassettes to accompany these graphics are available from NEA-IPD on a loan basis only and may be reproduced by the borrower for workshop use.

*Sample sets of some systems can be purchased at minimal cost from the publisher. NEA-IPD has published a booklet entitled "Abstracts of Evaluation Systems" which describes 13 systems and where to get them. It is available on request to affiliates interested in examining optional approaches to teacher evaluation.

A PARADIGM OF COMPONENTS FOR PROGRAM AND PERFORMANCE ASSESSMENT



EDUCATIONAL PURPOSES

Instruction and Professional Development — National Education Association

WHO SHALL EVALUATE?

SELF

PEER

SUPERVISOR

STUDENT

PARENT

THE COMMUNITY

PRESSURE GROUPS

OTHER AGENCIES

SOME TYPES OF EVALUATION SYSTEMS

(According to Ways of Gathering Data)

OBSERVATIONAL

VIDEO TAPE

AUDIO TAPE

PAPER AND PENCIL

NON-VERBAL

COOPERATIVE OBJECTIVE
SETTING AND MONITORING

Instruction and Professional Development
National Education Association

QUESTIONS FOR DETERMINING THE EFFECTIVENESS
OF AN EVALUATION SYSTEM

1. Does the evaluation system focus on the entire range of factors which affect the quality of teaching and learning, not only on the teacher, i.e., working conditions, program provisions, and other members of the school personnel?
2. Is the purpose of the evaluation system to improve the quality of teaching and learning? Is it conducted in relation to goals and objectives of the school district?
3. Is it cooperatively developed by representatives from all of the groups to be evaluated?
4. Is it carried out as a cooperative activity designed to establish rapport and communication between evaluator and evaluatee?
5. Does it help the evaluatee identify the scope of his duties and prerogatives and to clarify the relationship of his personal and professional objectives to those of the school district?
6. Does it include self-assessment, designed to motivate the evaluatee to improve himself? Is it diagnostic rather than judgmental--thus defining the dimensions for in-service experiences?
7. Does it establish in writing clear "ground rules" and follow up procedures for both evaluatee and evaluator?
8. Does it provide that adequate records be kept of all phases of the process? Is it accompanied by comprehensive, contractual due process provisions?
9. Does it encourage experimentation, creativity, and flexibility on the part of the evaluatee, rather than conformity to someone else's conception of what constitutes "good performance"?
10. Does it provide for periodic assessment and revision?
11. Does it provide for training of all concerned before evaluation begins?
12. Is it realistic in terms of time and funds for implementation?

STAGES IN DEVELOPING AN EVALUATION PROGRAM

(Prepared by Bernard McKenna)

The plan laid out below is no panacea. It is presented only as guidelines from which local associations will want immediately to depart to best serve unique local situations. It is rather more like a check list against which a local may check its present plans and action for aspects it may have slighted or omitted.

STAGE I

Determine what will be the Association's role in the total evaluation process. Possible ranges of involvement include:

- A. Take no Association stand on evaluation. But assure that the grievance machinery is of such a nature and powerful enough that it will respond favorably to Association beliefs and interests in all cases of unfair evaluation.
- B. Develop language acceptable to the Association on procedural due process for evaluation for negotiation and/or school district policy.
- C. Develop language acceptable to the Association on substantive due process for evaluation for negotiation and/or school district policy.
- D. Constitute an Association committee or assign to the local instruction committee responsibility for development of a full-blown program for evaluation (to then be negotiated or proposed as school district policy)

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as delineated in Stages II through XIV.

- E. Gain parity representation in an already existing school district committee designated to develop a full-blown program or to accomplish one or more tasks under Stages II through XIV related to evaluation.
- F. Take leadership in forming a committee representing a variety of school district constituencies, on which the Association has parity in membership, for the purpose of developing a full-blown evaluation system. Possible constituencies on such a committee, in addition to Association representatives, include: parents, students, board of education, school administration, community pressure groups.

If the decision under Stage I is A, B, or C, the Association will complete the task designated in one of those three and not proceed further.

If the decision under Stage I is D, E, or F, the Association will proceed with Stage II and so on. It is believed that selection of D, E, or F will all require similar activities and a similar progression of stages, although F may require some preliminary political action in bringing into being a working body appropriately representative of several constituencies.

From this point on it is assumed that a group has been constituted or accepted by the Association as suggested in D, E, or F and that all the stages that follow will fully involve this group or its designees.

STAGE II

- A. Analyze the evaluation program currently operational in the school district using some agreed-upon criteria for judgment. (The NEA has available 2 levels of devices for this purpose--"Characteristics of a Good Evaluation System" which provides a quick analysis and the "Early Warning Kit on the Evaluation of Teachers" which provides considerably more depth.
- B. Determine, in light of the analysis, which of the following tasks are required:
 - 1. Developing a full-blown evaluation program, starting from scratch.
 - 2. Shoring up educational goals and objectives for the schools and relating them to the currently employed evaluation system.
 - 3. Developing training programs for those who apply the evaluation instrument(s).
 - 4. Shoring up the process by which the present instrument(s) is applied.
 - 5. Shoring up due process provisions that relate to evaluation.

6. Minor revision of the present evaluation instrument(s).
7. Balancing performance evaluation with the addition of instruments for program evaluation.
8. Major revision of the present evaluation instrument(s).
9. Development of totally new instrument(s) for performance evaluation.
10. Development of a totally new program evaluation instrument(s).
11. Development of a totally new evaluation program from scratch, including goals and objectives for the schools, goals for evaluation, criteria, who shall evaluate, how data shall be gathered, instrumentation for both program and performance evaluation, training for use of instruments, etc.

The decisions under Stage II should not be taken lightly. It may not only require analysis of what is on the basis of applying the two NEA tools cited but also some study of the literature on what ought to be in evaluation systems. Having some common understanding among the members of the working group on what is desirable, possible, and what has been accomplished elsewhere can be highly contributory to determining what the local situation requires to bring it up to standard.

Once the decision is made on which of the possibilities in Stage II are to be pursued (several may be selected for pursual concurrently) the stages that follow become relevant or are passed over in light of the selections. If #11 is selected under Stage II, it is expected that in most cases most of the other stages will need to be pursued and generally in the order set down.

STAGE III -- DEVELOPMENT OF OR UP-DATING SCHOOL DISTRICT GOALS AND OBJECTIVES FOR EDUCATION

The following considerations are important in setting goals and objectives for schooling:

- A. If the committee constituted or accepted in Stage I is not representative of the community and students, serious consideration should be given to expanding it to reflect these constituencies, at least for accomplishing this stage.
- B. Goals and objectives may be updated or developed by one or more of the following procedures:
 - (a) Reference to state-wide goals and objectives (if available)
 - 1. Reference to ready-made goals and objectives from commercial or non-profit agencies (Phi Delta Kappa has such a list of 14).
 - 2. Use of a ready-made procedure for developing local goals and objectives. A number are available: the Delphi technique, a Phi Delta Kappa gaming procedure, and the Instructional Objectives Exchange are among them.

3. Development of local procedures for determining school district goals and objectives for education.

STAGE IV -- DEVELOPMENT OF GOALS FOR EVALUATION

Goals for Evaluation should, if at all possible, be tied directly to goals for the schools. At least, evaluation goals should not be inconsistent with the broader school goals.

The following considerations are important in developing goals for evaluation:

- A. Determine whether evaluation for improvement of instruction and evaluation for change of status (retention, tenure, promotion) are to be totally separated, and if so which (or are both) is to be within the purview of the Committee as it carries on its work.
- B. Although improvement of instruction and change of status are the 2 major purposes for evaluation, there are others. The Committee should consider all the possibilities and delimit them in terms of what it considers to be of high priority and to be accomplishable in light of resources and time. (A listing of possible goals for evaluation is to be found in "The Evaluation of Educators: A Simulation" produced by the NEA.)

STAGE V -- DEVELOPMENT OF CRITERIA FOR EVALUATION

This is a most important, sensitive, and difficult task. And it is critical to the activities in Stage VII related to selection, adaptation, or development of instruments for evaluation.

Several key considerations are essential during this stage:

- A. An early determination that must be made in this stage is whether both program and performance are to be evaluated. If the decision is to evaluate only performance, the Association should at least be aware of the dangers in agreeing to evaluating teacher performance without concurrently evaluating those program contents, conditions, and resources that make competent performance possible.
- B. A second determination is on who shall be evaluated-- teachers, supervisors, administrators, aides and other paraprofessionals and support staff, the Board of Education.
- C. A third consideration is whether both professional and personal criteria are to be applied to staff evaluation. That is, will the staff person's deportment in the community, manner of dress, and quality of voice be evaluated along with his ability to individualize instruction, motivate students, and knowledge of subject matter? The key question here is, are effectiveness in promoting student learning to be the only or major criteria on which the staff person is judged or are a variety of ancillary behaviors and characteristics also to be included as criteria.
- D. Once determination has been made on the general categories listed in A, B and C, all potential criteria for evaluation need to be considered.

1. For program evaluation some sources of criteria are NEA's Profiles of Excellence and A Quality Inventory obtainable from Vincent & Olsen, Education Consultants, Salisbury, Connecticut. These may also be used or adapted as evaluation instruments.

STAGE VI -- DETERMINING WHO SHALL EVALUATE

In some school districts, there may be little leeway in this determination. In other places there is likely wide latitude for decision-making. For example, if the administration has developed and implemented the present evaluation system, and if the Association's position is only to cause the present system and its implementors to perform more fairly and objectively, the matter then is not a question of "who shall evaluate?" But if the Association has assumed one of the positions listed in Stage I requiring that the Association be involved broadly in the evaluation process, then the leeway for decision-making in this phase may be considerable and require the following considerations:

- A. Selecting one or more of several possible groups to be directly involved in the evaluation process:

- principals
- other supervisors and administrators
- students
- peers
- self
- parents
- community groups

- B. Basing the selection on previous determinations on the goals for evaluation, i.e., improvement of instruction and/or change of status. For example, if the prior decision has been that a goal of evaluation (with Association involvement) is to be change of status, then the

use of self-evaluation in implementing the change-of-status goal becomes most difficult.

STAGE VII -- SELECTING, ADAPTING, DEVELOPING
EVALUATION INSTRUMENTS

The tasks to be accomplished in this stage can be relatively simple, or highly complex and of long duration, depending on which of several options are selected in instrumentation. But the size of the task will also depend on the number of criteria selected in Stage V and the decisions on who shall evaluate and who shall be evaluated. For example, if all staff are to be evaluated, as mandated in states like California and Kansas, different instruments may be required for administrators, teachers, aides and the like. And if the decision is for students to be involved in staff evaluation, additional instruments may be required for this purpose.

But the size of the job will be determined more on which of the following alternatives related to instrumentation are selected:

- A. Selection of already-developed instruments that are consistent with previously determined goals and criteria for evaluation.
- B. Adaptation of already-developed instruments to coincide with previously determined goals (Stage IV) and criteria (Stage V), and to meet other local needs and conditions. This may require obtaining permission to alter or select parts of those commercially-developed instruments that are copyrighted.

- C. Development of original instruments that reflect previously-determined goals and criteria for evaluation. Selecting this alternative is likely to require the most time, effort, and talent. It will require not only the ability to develop categories and items that reflect the goals and objectives previously determined, but also some knowledge of item construction, validity and reliability, and other technical matters related to instrumentation. It is likely that the Committee will require outside consultant service if it elects this option.

STAGE VIII -- TRAINING FOR APPLICATION

It has been said that the results of an evaluation system will be no better than the training of those who apply it. It is obviously near impossible to expect all subjectivity to be eliminated in applying evaluation systems. It is even possible that total objectivity might not be desirable. On the other hand, subjectivity of a high level results in a system's lacking in reliability. Reliability in applying an evaluation system is, to a considerable degree, the consistency with which different evaluators appraise the same behavior, and the consistency with which the same evaluators appraise similar behaviors at different points in time.

Several kinds of activities are appropriate for evaluation training depending on the kinds of instruments that have been selected or developed:

- A. Activities for gaining common understanding of instrument terminology.
- B. Simulation of observation through films.
- C. Paired evaluators in actual classroom observations, followed by discussion and comparison of results.

STAGE IX -- FIELD TESTING

Any evaluation system to be used for a first time in a new setting, no matter how valid or reliable, should be tried out in a limited number of situations under carefully controlled conditions.

Guidelines need to be developed for the field testing which get at questions like the following:

- A. Do the results of its application reflect previously determined goals and criteria? (Are the results valid?)
- B. Does it produce results in such a form that they clearly indicate constructive decisions and actions?
- C. Are the results reliable?
- D. Are the results commensurate with the time spent?
- E. Is the application disruptive to the educational process?
- F. How do evaluatees react to the application process?
(It is wise to survey evaluatees on a wide variety

of opinions and attitudes concerning both substance and process of the evaluation system.)

G. What due process provisions are essential?

Following test and try-out (if possible there should be more than one of these), parts or all of previous stages may need to be repeated before wider application is effected.

STAGE X -- DEVELOPING DUE PROCESS AGREEMENTS

It should be expected that ideas for due process will have emerged during several earlier stages. But the time of test and try-out is a particularly good opportunity to identify those essential protections that will assure justice to all who are to be evaluated.

Once the essentials are identified, choice will need to be made among three alternatives:

- A. Using the general grievance machinery and due process provisions already present in negotiated agreements and school district policy for responding to all matters related to evaluation.
- B. Supplementing existing general due process procedures with specific provisions for the evaluation program.
- C. Developing a totally independent set of due process procedures for the evaluation program.

It is unlikely that A alone will be sufficient as an option. Such things as how often evaluation will take place, provision for previous notification to evaluatees, and opportunity for evaluatee response are important considerations that relate specifically to evaluation, and which are not likely to be covered in general grievance machinery provisions.

STAGE XI -- APPLICATION

If the results of the test and try-out stage have been used to the best advantage, this stage should progress nearly automatically.

Just how involved the Association will become in actual application activities depends on alternatives made in Stage VI. If the Association is to be actively involved, it should be assured that time, resources, and materials are available for carrying on the activities in this stage.

STAGE XII -- ANALYZING THE RESULTS

The nature of the instruments, the criteria on which they are based, and the original goals selected for evaluation should all be taken into account as the results are analyzed.

If the system is a highly individualized one, analysis of results may be mainly between evaluatee and evaluator. If the

system is standardized for groups of staff or, in the case of program instruments, for the total school system rather than by building, general trends in terms of highs, lows, and averages may need to be obtained on a variety of criteria.

Whatever the nature and format of the analysis, its main purpose is to provide data for the constructive completion of the next stage.

STAGE XIII -- PLANNING AND TAKING ACTIONS
BASED ON THE RESULTS

This may be the most important stage of all, and the one demanding the greatest amount of time, creativity, and resources.

If evaluation is to result in the improvement of the instructional program and the improvement of staff performance, no matter at what level they operate, it can be a time-consuming and costly activity, and one which most school districts will need to apply massive effort compared to what is typical in most places today.

Action programs will need to be planned and executed on 2 fronts:

- A. To correct deficiencies identified from the program aspects of evaluation.
- B. To provide staff in-service education to improve those performance aspects identified as needing upgrading.

The implications of the first for updating curriculum, changing teaching loads, providing time to teach and to plan, for

increased materials and improved facilities has important implications for school finance and for the priorities of those who provide the financial support to the schools.

And the implications of the second are for massive in-service education programs for all types of school staff--from clerical support personnel to the board of education.

STAGE XIV -- EVALUATING THE EVALUATION
PROGRAM AND RECYCLING

Evaluation should be built in for each stage as the stage gets underway. At this point (assume at the end of year I of full implementation) all applicable stages should be evaluated using the pre-developed, built-in mechanisms, and plans should be made for recycling based on this full evaluation.

ILLUSTRATIVE ARTICLE XVI

TEACHER EVALUATION

A. 1. All monitoring or observation of the work performance of a teacher will be conducted openly and with full knowledge of the teacher, with at least one (1) day's advance notice. The use of eavesdropping, public address or audio systems, and similar surveillance devices will be strictly prohibited.

2. Teachers will be given, upon request, a copy of any class visit or evaluation report prepared by their superiors and will, at their option, be entitled to a conference to discuss said report. In no event shall the teacher fail to receive the report later than one (1) day before such conference. No such report will be submitted to the central office, placed in the teacher's file or otherwise acted upon without prior conference with the teacher, if requested. No teacher will be required to sign a blank or incomplete evaluation form.

B. 1. Probationary teachers will be observed at least four (4) times each school year by their principal, supervisor or director.

2. If a probationary teacher who is denied tenure requests the reasons for such denial, such reasons will be given to him orally, if he so specifies; otherwise they will be given in writing.

3. Probationary teachers not reemployed for the following school year will be notified by March 1. If a teacher is not notified that he will not be reemployed by March 1 of the third school year of his employment, he will acquire tenure.

C. 1. Teachers will have the right, upon request, to review the contents of their personnel file and to receive a copy at Board expense of any documents contained therein. A teacher will be entitled to have a representative of the Organization accompany him during such review. At least once every two (2) years, a teacher will have the right to indicate those documents and/or other materials in his file which he believes to be obsolete or otherwise inappropriate for retention. Said documents will be reviewed by an appropriate member of the Office of Personnel Services and if he agrees, they will be destroyed. A disagreement over the question of obsolescence or inappropriateness will be subject to the grievance procedure set forth herein and will be initiated at Level Two thereof.

2. No material derogatory to a teacher's conduct, service, character or personality will be placed in his personnel file unless the teacher has had an opportunity to review the material. The teacher will acknowledge that he has had the opportunity to review such material by affixing his signature to the copy to be filed, with the express understanding that such signature in no way indicates

agreement with the contents thereof. The teacher will also have the right to submit a written answer to such material and his answer will be reviewed by the Assistant Superintendent for Personnel and attached to the file copy.

3. Although the Board agrees to protect the confidentiality of personal references, academic credentials and other similar documents, it will not establish separate "confidential" files.

D. Any complaint regarding a teacher made to any member of the administration by any parent, student or other person which is used in any manner in evaluating a teacher will be promptly investigated and called to the attention of the teacher. The teacher will be given an opportunity to respond to and/or rebut such complaint.

E. If a teacher is to be disciplined or reprimanded by any member of the administration he will be entitled to have a representative of the Organization present.

F. 1. Prior to his annual evaluation, the principal or immediate supervisor of a probationary teacher will have had appropriate communication with said teacher regarding his performance as a teacher, including periodic conferences.

2. Final evaluation of a teacher upon termination of his employment will be concluded prior to severance. No documents or other material will be placed in the personnel file of such teacher after severance.

G. No teacher will be disciplined, reprimanded, reduced in rank or compensation, suspended, demoted, transferred, terminated or otherwise deprived of any professional advantage without just cause. In no case will this be done publicly unless so requested by the teacher. Any such action, including adverse evaluation of teacher performance, will be subject to the grievance procedure set forth in this agreement. Any suspension of a teacher pending final Board action will be with pay.

Comment:

There is little in this article which warrants extended discussion. Basically, the proposal is designed to establish a system of evaluating teacher performance which is consistent with the basic notions of procedural due process. Consideration should be given in the formulation of a proposal of this type to the differing status of tenure and nontenure teachers, particularly in regard to the methods of evaluation and discipline. Moreover, while the article is designed largely to protect individual rights, it must also be structured so that the organization plays an appropriate role as the representative both of the particular individual involved and of other members of the negotiating unit.

Two specific points deserve comment in connection with this article. The approach taken in Section D is frequently a point of controversy. It is not uncommon for teacher organizations to pro-

pose a more inclusive provision which simply requires that all complaints be called to the attention of the teacher. This approach often results in the need to pass on and dignify petty or meritless complaints which really do not warrant discussion. Since the purpose of this article is to allow the teacher to be aware of and respond to those complaints which may be taken seriously and may therefore be damaging to his professional standing, the approach taken in the illustrative article seems preferable. Under it, if a complaint is not called to the attention of the teacher under Section D, the substance of that complaint can in no way be used in evaluating or otherwise passing judgment upon the teacher's professional competence or standing. Any action taken would have to be justified entirely on other grounds.

Possibly the most critical aspect of this entire article is Section G, which builds in the concept of "just cause." The significance of this concept in conjunction with an effective grievance procedure ending in binding arbitration can hardly be overstated. While it adds substantially to the rights of all teachers, its most immediate impact is to increase the protection afforded to nontenure (i.e., probationary) teachers.

While some school boards have been willing to give nontenure teachers the type of contractual protection provided by Section G, others have taken the position that to do so would defeat the purpose of the tenure system and render virtually meaningless the distinction between tenure and nontenure status. In order to accommodate the perhaps legitimate need for a "trial period" before a permanent employment commitment is made and at the same time protect all teachers from unjustified employer action, a proviso such as the following sometimes has been inserted after the words "without just cause":

Provided that in the case of a nontenure teacher, termination will not be grievable unless allegedly arbitrary, capricious, or in bad faith.

Since school laws in most states reserve to the school board the unilateral right to terminate the services of a nontenure teacher without cause, without hearing, and without even a statement of reasons for its action, some school boards have contended that, even with the additional language, a provision of this type is illegal.

This argument is not persuasive. The failure of tenure laws to require school boards to provide the basic guarantees of procedural due process for teachers without that status does not mean that they prevent a school board from agreeing to the type of provision proposed. The provisions arguably do nothing more than complement tenure laws.

Indeed, recent federal court decisions indicate that, notwithstanding tenure laws and even absent contractual protection, the job interests of nontenure teachers are entitled to the protec-

tion of the substantive and procedural due process guarantees of the Federal Constitution....

Because of this growing judicial protection and the increase in negotiated job security safeguards in collective agreements, some persons have taken the position that tenure laws and other job security legislation are obsolete. This argument runs as follows: Tenure laws and similar protective legislation for the publicly employed occupational groups were in large part designed to provide public employees with basic safeguards which they were unable to obtain pursuant to agreement with their employers for the legal, conceptual, and practical reasons discussed above in Part I. The emergence and growth of collective negotiations in the public sector mean, among other things, the establishment of negotiated systems of job protection similar to those which have developed in the organized segment of the private sector and superior, from an employee's point of view, to the legislatively established protections found in tenure laws.

One final point should be made. Teacher organizations have become increasingly sensitive to the need to improve evaluation procedures, particularly in two respects. First, there is a need to establish relevant criteria, with the teacher organizations favoring standards which emphasize teaching competence and downgrade conformance with community mores. This leads to consideration of the second area of importance, viz., the persons who do the evaluation. Emphasis upon grade level or subject-matter knowledge means that the evaluation should be done, as it is in many institutions of higher education, by a teacher's "peers". Thus, some agreements require that the evaluation of a teacher must include the judgment of a person of recognized competence in the same field.

GOUVERNEUR, NEW YORK

PROCEDURAL AGREEMENTS

11.9 TEACHER EVALUATION

Procedure for Teacher Evaluation

The chief purpose of the evaluation of the teaching staff shall be (a) to maintain a highly qualified, competent staff, and (b) to promote its continuing development.

To further these purposes, the supervisory personnel responsible for the evaluation of teachers shall acknowledge the right of the teacher to:

1. know how well he is performing the duties and responsibilities of his position
2. know the areas in which improvement is needed
3. have candid appraisal of his work
4. discuss his evaluation reports with his supervisor
5. seek and receive supervisory assistance where needed

Procedure for Evaluation

A. The number of formal evaluations will vary according to the individual teacher's tenure status and to factors related to his growth. A teacher's request for additional lesson evaluations should always be honored.

B. Non-tenure teachers shall be observed at least six times per year with at least one observation taking place prior to October 15 of each school year and the final observation prior to April 15 of each school year.

Tenure teachers shall be observed at least twice each year.

C. Each formal evaluation will be preceded by a pre-conference at which the teacher's plans for the lesson are to be discussed. A formal classroom observation will follow and will cover a complete lesson or class period. This will follow within a day if possible, but no later than five school days, by post-conference during which the lesson will be evaluated and the evaluation discussed. The written report of the observation and evaluation is to be signed by both the evaluator and the teacher. The teacher's signature does not indicate agreement with the evaluation. It only indicates that a conference was held and the teacher received a copy of the evaluation. The teacher may file a written comment on the observation and evaluation. This will be attached to the evaluation and become part of his or her personnel file.

D. Department chairman shall observe but not evaluate teachers in their department. A department chairman is a resource to assist members of the department in adjusting to the school, the classroom, the discipline, and to help teachers to reach their optimum effectiveness. In special areas, teachers may elect to use department chairmen as evaluators.

E. Evaluations in which there are questions concerning subject matter competency will be supported by subsequent formal evaluation by supervisors knowledgeable in the subject matter area.

F. A conference among all those who evaluate a teacher (building principal, vice-principal, Superintendent), a representative of the Association, Director of Elementary Education, the department chairman, and the evaluated teacher shall be held in December and in April. By consensus, the participants shall determine what constructive action, if any is necessary, shall be taken by the individual.

G. Following his initial evaluation of the year, a non-tenure teacher may request the convening of a Teachers Committee on Evaluation (TCOE). The purpose of this committee will be to work closely with the teacher and his principal in an attempt to realize that teacher's full professional potential.

H. \$1,000 will be available per permanently certified probationary teacher for each probationary year for the purpose of implementing either the decision of the December or April conferences (Section F above) or the decision of the TCOE, or both, for assisting the probationary teacher to reach full professional development as an excellent classroom practitioner.

I. \$1,000 will be available for a maximum of 25 tenured teachers, each year, for the purpose of maintaining full professional potential. When tuition waivers are available to cover course costs, they will be substituted at cash value.

J. Courses approved by Chief School Officer with consideration given to recommendations of TCOE Committee.

K. No employee shall be dismissed, reprimanded, reduced in rank or compensation or deprived of any other professional advantage except for just cause.

1. Selection of Committee

The TCOE will consist of three tenure teachers, one member to be selected by the principal, one member to be selected by the teacher and the third to be selected by the committee members.

2. Procedure

a. The teacher's request for a TCOE will be submitted, in writing, to his principal.

b. The TCOE will meet with both teacher and principal unless, by mutual agreement, individual members of the committee are instructed to work independently with the teacher.

c. The TCOE may use any evaluative technique it chooses for determining the teacher's strengths and weaknesses. Any evaluative technique used by the committee must be defensible and, if requested, submitted in writing.

d. The TCOE members will observe the teacher in his classroom during the time they have available.

3. Goals of the TCOE

The principal and the TCOE assume that an evaluation indicates the areas in which a teacher's potential is not being realized. The TCOE will act as a positive force to offer encouragement, in-service training, and reassurance. It will serve as a convenient source of advice and as a sounding board for the teacher's own creative ideas.

4. Tenure of the TCOE is to be from no earlier than October 15 to April 15 of any school year.

5. Confidential

The TCOE is to respect the confidentiality of all communi-

cations between it, the principal and the teacher involved.

L. Post April 15 Evaluation

As a result of his April 15 evaluation, the principal will, as in the past, select one of three courses of action. His choice will determine the TCOE course of action.

1. If the principal's evaluation indicates growth adequate to predict success in our profession, the teacher may be retained subject to the final approval of the Board and the TCOE shall be dissolved.

2. If the principal's evaluation indicates some growth and the probability of adequate further development, and if the probationary period has at least one more year to run, the teacher may be retained with reservations subject to recommendation to, and approval by the Board. These reservations will be communicated to the teacher and the TCOE. The teacher may then request the retention of the committee for another year's help or request its dissolution.

If the principal's evaluation indicates inadequate growth, he will discuss the matter with the TCOE and then recommend the release of the teacher to the district principal.

If the TCOE disagrees with his recommendation, they will be entitled to present their recommendations and justification both orally and in writing to the Superintendent and/or Board of Education.

EVALUATION AND DUE PROCESS: LEGAL ASPECTS

J. EVERETTE DE VAUGHN

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SEVERAL appellate courts in the federal system had from 1966 to 1970 mandated a nondiscriminatory evaluation system for professional personnel in education before reduction or demotion of staff. Although these cases dealt primarily with court presumptions of racial discrimination and resulting unequal protection of the law under the Fourteenth Amendment, the decisions point out the need for fair evaluation systems if personnel are to enjoy due process and school boards are to be less vulnerable to attacks in courts of law.¹ These cases, which arose from nonrenewal practices in school consolidations and implementations of freedom of choice plans, have not been overturned or modified and currently are controlling against unequal protection for legally established classes of professional personnel.

For teachers who had gained tenure under statutes in three-fifths of the states by the mid-sixties, full due process rights of notice of specific charges and hearing thereon, with rights of appeal, were clearly established.² These rights are recognized by the U.S. Supreme Court today as well as by state courts.

Probationary teachers in tenure systems are protected in varying ways. Statutes in most tenure states require full due process in dismissal of probationary teachers during the contract year, while statutes in

only a minority of states require notice of charges and a hearing on termination through nonrenewal at the end of a contract year. Statutes in a few states require full due process in nonrenewal, which amounts to automatic tenure.

Systems in states in which teachers enjoy automatic tenure and those in which teachers earn tenure after a probationary period clearly need an evaluation system, for specific charges and a hearing thereon are required in separation at any time. From the system's point of view, the more complete the statutory protection to the teacher, the more adequate must be the evaluation system to protect the board against legal challenge in courts of law. Yet, in fairness, from the teacher's point of view, the less security provided the teacher by statutes, the more adequate the evaluation system should be to protect the teacher and to protect the board in case of litigation.*

The constitutional legitimacy of what the state, through its public school systems or institutions of higher education, is doing to its employees remains an issue closely guarded by all state and federal courts.³

Beyond the substantive constitutional questions lie procedural due process rights of counsel and notice of specific charges; hearings on such charges, including the right of facing those who testify against one; the right to cross-examine such witnesses, to examine documents presented in evidence, to challenge hearsay evidence, to challenge board members who are believed to be biased or to have

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* A strong case can be made for the position that an evaluation system, with its standards of performance and rules and regulations, concentrates more power in the administration and tends to make faculty members conform. In short, the argument is that an evaluation system serves as a mechanism that allows the administration to remove the abrasive, innovative members who may be the most productive of significant thought, though refreshingly divergent, and the most promising of bringing change, thus perpetuating the conforming, complying staff members. The most capable, sometimes nonconforming, and highly productive members, in absence of an evaluation system and its standards and regulations, conform to their own more demanding professional standards and under their own high motivation earn the respect of colleagues, students, and administrators on a broader basis than in the institution in which they work; they therefore, because of lack of constraints imposed by an evaluation system, achieve a "tenure of virtue and talent" rather than by statute (to borrow from Jefferson's distinction between the pseudo-

aristocracy of birth and the real aristocracy of virtue and talent).

The argument of this paper is that in absence of an evaluation system, evaluations are made anyway—most often on a subjective basis and without the participation of the evaluatee—and promotions and salary raises are or are not granted on the basis of such evaluations. Hence an evaluation system, with evaluatee participation in its development and implementation, is more desirable even for the "tenured by virtue and talent."

The horns of the dilemma on this issue are indeed sharp. The controlling decisions of *Roth* and *Sindermann* may significantly erode the procedural due process rights of nontenured teachers in public schools and institutions of higher education, while preserving bare constitutional rights, but it is possible that the most vigorous teachers will resist standards of performance and prescriptions giving the administration more bureaucratic power encroaching on academic freedom, and will be content to accept the challenge of establishing "tenure of virtue and talent."

prejudged the issues; the right to present witnesses and documents in one's self-defense, to have in writing findings of facts and conclusions on each charge and specification, and to have a transcript of the hearing on appeal. (These rights apply to teachers of different employment status in various ways, as previously noted.)

These general conclusions leave for discussion the swampy area of the rights in nonrenewal of the probationary teacher in systems where legislatures have left such teachers in an annual contract status, the rights of teachers in continuing contract states where mere notice of nonrenewal intentions must be given before a certain date, and in annual contract jurisdictions not requiring notice of reasons and hearing. For such groups of professionals in education, the U.S. Supreme Court decisions of *Roth* and *Sindermann* have special and significant import.⁴

The decisions of the federal circuit courts of appeals were in conflict in June 1972, with the Fifth and Seventh Circuits tending toward full due process rights in termination, the First Circuit requiring at least rather specific reasons for nonrenewal but denying the right of hearing, and the Sixth Circuit denying both causes and hearing in an annual contract situation.⁵ Because of this conflict it was urgent that the U.S. Supreme Court bring order in the judicial decisions and reasoning of the courts, however disconcerting those decisions might be to many lower courts, as well as to educators.

It is well to consider what due process rights remain to probationary and contract teachers in nonrenewal and what implications are clear for implementation of evaluation systems in public schools and colleges and universities. The free speech constitutional complaints have been dealt with previously and are upheld by the decisions of *Roth* and *Sindermann*, with directed hearings on these complaints.⁶ In addition, Roth asserted that failure of the administration to provide charges and hearing in nonrenewal was a denial of constitutional due process. This complaint was denied by the U.S. Supreme Court, with reliance on Wisconsin statutes, resulting in the decision that Roth was on annual contract in the first year of probation, that the university had kept him in employment through the specified date of the contract, and that no reasons or hearing on this issue were required because the university officials have "unfettered

discretion" in nonrenewal of the teacher's contract. The court applied the "liberty" and "property" tests of the Fourteenth Amendment⁷ and found that Roth had not established evidence to support those constitutional rights. If the professor had established evidence of difficulty in securing employment between time of notice of nonrenewal and date of hearing in the federal district court, and if he had established that such difficulty was reasonably related to the cloud raised by his nonrenewal of contract, he might have established an infringement on his constitutional right of "liberty" to follow his profession. Or if the university system had adopted rules or regulations denying him further employment in the university system, his "liberty" might have been denied. A right of "liberty" might have been infringed if he had been charged with "immorality" or "dishonesty," but no such charges, or any others, were lodged. "Property" rights were judged not present on the record.

What are the implications of the *Roth* decision for evaluation? It would seem that professionals so situated would insist on an evaluation system that would assess their teaching effectiveness, based on student input at appropriate maturity levels, assessment by superiors, and self-evaluation. Dialogue between superior and teacher, using all inputs, should be a part of the process. If Roth's performance as a professor of political science in an important university has not been adequately assessed by his students, his department chairman, and his dean, it is to the disadvantage of both Roth and the administration. Unless an adequate evaluation system is in use, students and immediate supervisors may be at a loss as to how to register evidence in support of the professor, which would benefit the professor and the university and would arm the head of the institution with considerations leading to a just and "objective" decision. If, on the other hand, Roth had, under such an evaluation system, been proved to be inadequate in specific ways and "troublesome" to a degree that significantly disturbed the learning climate in the university, then all those involved—except Roth—would profit from the nonrenewal. Only an adequate evaluation system would establish the evidence needed for administrative action.

If an adequate evaluation system was in operation, Roth could not have alleged

lack of notice of deficiencies and discussion on these issues, even without a formal hearing. The university now stands ready merely to deny the First Amendment allegation in an evidentiary hearing, which may be difficult. It will require testimony to establish evidence of unsatisfactory teaching and teacher-pupil relations, inadequate community service, absence of research, and the like—the kind of evidence that can be generated from an adequate evaluation system.

In the case of *Sindermann* the U.S. Supreme Court returned the matter for district court hearing on the issue of *Sindermann's* allegation of exercise of First Amendment rights and on the question of "de facto" tenure.* As in *Roth*, unless an adequate evaluation system was in use, the junior college administration must merely deny *Sindermann's* allegation that his exercise of First Amendment rights was the real reason for nonretention, or offer documented reasons established by testimony. In view of *Sindermann's* ten years of service in the university system (four at the junior college from which he was terminated by nonrenewal), without evidence established by an adequate evaluation system, the task of the administration is difficult indeed. Is there not an inference that *Sindermann's* service was satisfactory when he was given a contract for four consecutive years at the same institution and for six years prior to that in the university system? Is there not also a second reasonable inference, which must be overcome by the defendant board, that *Sindermann's* speaking and writing in support of his position that the junior college should be made a four-year college was the real reason for nonrenewal of contract?

Even more difficult is the burden of the administration if the board of regents had, in fact, established a tenure system by regulation in 1967 for those professors who had served satisfactorily for seven years in the system. If the judicial hearing that was ordered by the U.S. Supreme Court does indeed disclose that *Sindermann* had "de facto" tenure, then the administration is in dire need of hard evidence of serious deficiencies generated

by an evaluation system.

From *Sindermann's* viewpoint an evaluation system would have protected him against termination for any cause without notice of specific deficiencies. In such case he would have possibly been in a position to assert his rights without the costly litigation he has had to pursue.

Rights of "liberty" may be found in *Sindermann's* case because the board, in an alleged advertisement, charged him with insubordination. Is not such a charge so damaging to one's reputation as to require notice of charges and an opportunity to clear his good name and thus be allowed freely to pursue his profession? "Property" rights certainly will be established if the policies of the college and regulations of the board were such as to lead *Sindermann* to believe he had tenure.

The decisions of *Roth* and *Sindermann* may lead institutions of higher education and public school systems—as well as teachers in such institutions—to see the desirability of adopting an adequate evaluation system.

FOOTNOTES

1. See *Franklin v. County School Board of Giles County*, 360 F. 2d 325 (Fourth Circuit Court of Appeals, 1966); *Wall v. Stanly County*, 378 F. 2d 275 (Fourth Circuit Court of Appeals, 1967); *Rolfe v. County Board of Education of Lincoln County, Tennessee*, 391 F. 2d 77 (Sixth Circuit Court of Appeals, 1968); *North Carolina Teachers Association v. Asheboro City Board of Education*, 393 F. 2d 736 (Fourth Circuit Court of Appeals, 1968); and *Singleton v. Jackson Municipal Separate School District*, 419 F. 2d 1211 (Fifth Circuit Court of Appeals, 1970).

2. See De Vaughn, J. Everette. "Teacher Employment, Legal Aspects: Separation and Demotion." *The Encyclopedia of Education*. New York: Macmillan, 1971. Vol. 9, p. 21.

3. In *Roth* and *Sindermann* (see footnote 4) the U.S. Supreme Court protected the rights of the teachers to have a judicial hearing on the claim that the reason for nonrenewal was exercise of the First Amendment right of free speech.

4. *Board of Regents v. Roth*, 92 S.Ct. 2701; 33 L.Ed. 548 (June 1972). *Perry v. Sindermann*, 92 S.Ct. 2694; 33 L.Ed. 570 (June 1972). For another discussion of the *Roth* and *Sindermann* cases, see Walden, John. "Law and the School Principal, Reprise: Due Process and the Nontenured Teacher." *National Elementary Principal* 52: 78-80; January 1973.

5. See *Ferguson v. Thomas*, 430 F. 2d 852 (Fifth Circuit Court of Appeals, 1970); *Sindermann v. Perry*, 430 F. 2d 939 (Fifth Circuit Court of Appeals, 1970); *Drown v. Portsmouth School District*, 435 F. 2d 1182 (First Circuit Court of Appeals, 1970); *Orr v. Trinter*, 444 F. 2d 128 (Sixth Circuit Court of Appeals, 1971).

6. See footnote 4.

7. The court rejected the test of balancing the interests of the teacher against those of the university in the district court, which was supported in a two to one decision by the Seventh Circuit.

* Since this article was written, the district court has ruled for *Sindermann* and awarded him \$48,000 in back wages and attorneys' fees. The out-of-court settlement also included an offer of reinstatement, but *Sindermann* indicated he will not return to college teaching.

A CONTEXT FOR TEACHER EVALUATION

BERNARD H. McKENNA

If teacher evaluation were better understood both in and out of the profession, there might be fewer simplistic answers proposed to some highly complex issues and quicker progress might be made in reducing the complexities to manageable components, developing each component, and achieving appropriate interrelationships among components. The paragraphs that follow lay out the broad context in which teacher evaluation must be considered, trace the interrelationships of the parts, and propose ways of establishing evaluation programs that involve all of those affected by them in their development, application, and resulting decisions.

A Program-Performance-Outcomes Paradigm

Evaluation must be considered in both the broad context of the total educational program and the more specific dimensions of expected outcomes with students. Both of these must be related to performance, which falls some place between. (See figure on page 20.)

Program, for the purposes considered here, ranges from economic wealth and financial effort of the local school district to characteristics of students and their readiness to learn. It includes up-to-date-ness of the curriculum, teaching load, and time to teach. Because it is so frequently

neglected in discussions on accountability, a well-worn axiom bears repeating here: School staffs can be accountable only to the extent that conditions are present under which competence can be demonstrated. Like the physician who is unable to assume full responsibility for his patients' health without control of genetic makeup, diet, and exercise, the teacher cannot be held fully accountable for students' learning when he is unable to influence family background, materials available, time to teach, and teaching load.

The program conditions that must be evaluated along with teaching performance, and in the final analysis used to "weight" or correct any measurement that is taken on adequacy of performance, include those already mentioned, plus: home atmosphere for learning; student nutrition; control of professional matters by professionals; quality and quantity of curricular materials; appropriate equipment and facilities; support staff specialists, paraprofessionals, clerical help, and others; and provisions for staff development.

Performance, in this context, means those activities carried on by teachers, staff, and students in the teaching-learning situation. Sometimes referred to as teaching-learning strategies, the performances include both those that promote cognitive growth and those that develop wholesome attitudes and constructive interpersonal behaviors. A third type of performance is designed to promote stu-

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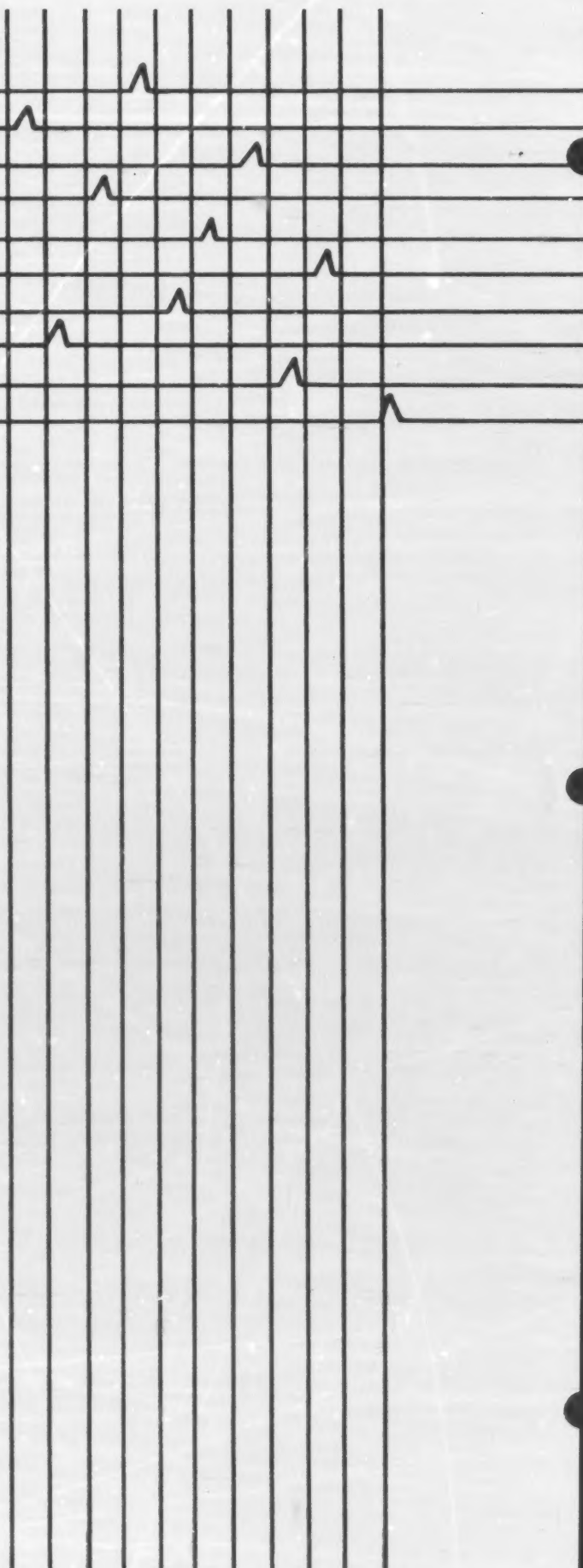
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dents' psychomotor skills and physical well-being. Specific performances in these three categories range from precise systems for asking questions and teaching reading, to group process activities, to methods for teaching swimming and hockey.

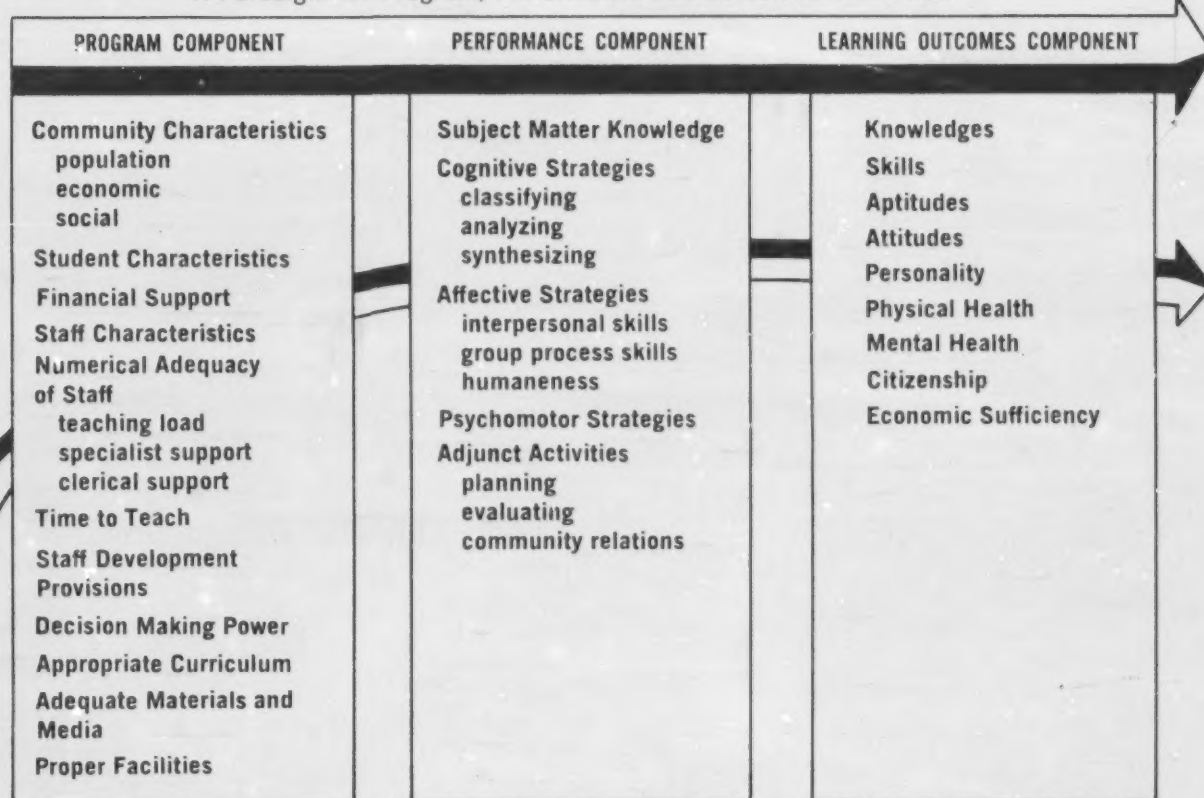
Performance is sometimes defined to include activities beyond those that are in direct relation to students, such as planning, evaluating, professional development, parent and community relationships, and even personal deportment. There is little agreement on which of these adjunct activities should be included in evaluation, let alone which should receive the highest consideration for decision making. Obviously, one persuasive response is that all those performances that directly affect and promote desired learning outcomes should be included.

Learning outcomes include all of those knowledges, skills, behaviors, and attitudes that are expected to result from what takes place in the teaching-learning situation or from performance.

It is important to distinguish those learning outcomes that are expected to result from the teaching-learning situation in schools as compared to those that are expected to result from activities in other settings and by other agencies. That is, it is essential to distinguish between *education* and *schooling*. Some observers estimate that as much or more education takes place outside the school as in it. One important cause given for many of



A Paradigm for Program, Performance and Outcomes Evaluation*



* The items listed under each component are examples and may not include all the possible considerations in each category.

Agreed on
Goals and Objectives
for
Schooling

the problems in today's schools is their overcommitment. It is argued that at the urging of the public and some individuals in the profession, schools have attempted to take on more and more of the total education of the young to a point that the task has become impossible to accomplish. In the light of the knowledge explosion alone, it may be more important than ever that the schools clearly distinguish between education and schooling and define precisely that part of a student's total education that might be expected to occur through schooling. Curriculum today ranges from driver training to moral values, and in many places it includes consumer economics, drug abuse, and ecological imbalance. Educators have taken on some of the numerous goals and objectives of schooling without asking, "Are these activities more appropriate for the schools or for other arenas?" Attempts to measure outcomes need to be preceded by identifying those outcomes that should be expected of schools and those that should be the

responsibility of other agencies or individuals.

Goals and Objectives

Without clear goals, objectives, and well-defined outcomes—outcomes measurable through systems that assess the degree to which they are achieved—the evaluation of the effects of program and performance is next to impossible.

Whether goals for evaluation are broad—such as, "for the improvement of instruction"—or specific—"for determining when tenure should be granted to staff," for example—they must be based on the goals and objectives of schooling. If, for example, evaluation is to be for the sole purpose of improving instruction, then both program and performance evaluation must be aimed at measuring the success of those programs and performances that have been designed to produce particular learnings based on the community's goals for education.

Even though setting goals and developing objectives are not the main concern

of this article, it is important to recognize their importance as a prerequisite to evaluation. And it is essential that a broad range of representatives of both community and school be involved in the goal-setting process—parents and other community residents, teachers and other school staff, and students. This involvement will be dealt with more fully in a subsequent section.

The paradigm shown earlier indicates that the components are sequential and interrelated. One might expect that the program elements would be of a quality to make possible the highest level of performance, and that excellence in performance would lead to high attainment in learning outcomes. But efforts to demonstrate these relationships have not been as successful as has been hoped. There has been considerably more success in relating program to performance than in relating performance to learning outcomes. For example, measures of financial effort, staff characteristics, and numerical adequacy of staff have been shown to be related to classroom performance, even when the influence of other variables is taken into account. One major line of inquiry on these relationships has been conducted for over thirty years at Columbia University's Institute of Administrative Research.

On the other hand, attempts to attribute differences in learning outcomes to different performances on the part of school staffs have been far less successful. In fact, they have produced so few definitive results to date that most researchers agree the results should not be used, in any broad sense, for selecting one kind of performance over another or for administrative decisions related to staff competence.

The difficulty of relating staff performance to learning outcomes should not eliminate such lines of inquiry; it indicates, rather, that research in this area needs to be increased. A number of studies suggest that such teacher behaviors as clarity, variability, and enthusiasm are related to student achievement. These findings need to be pursued and expanded on if the profession is to prove that teachers *do* make a difference.

Rosenshine and Furst have pointed out that both high inference and low inference variables need to be studied concurrently to determine cause and effect relationships in the learning process.¹ But

while the research goes on, much dependence should be placed on high inference variables—identifying those performances that experience and expertise tell us should lead to desired learning outcomes, on the assumption that appropriate performances will result in better outcomes.

Process as an End in Itself

In some quarters outcomes have been considered the "be-all" and "end-all." Only a cursory examination of the literature is needed to reveal a strong contention, on the part of the public and some professionals, that the proof of the pudding is in what children know, feel, or can do as a result of schooling.

Such a position cannot be discounted. After all, the public pays a high price for schooling; it is not surprising that they judge the returns in terms of their children's measurable learnings. At the same time, it would be surprising if the public tolerated processes for attaining these ends that were inhumane, undemocratic, or dangerous to physical health. However, it has been difficult to demonstrate that humane, democratic, and healthful teaching processes promote more learning than those that are not.

The point is that there are some processes that may not (or cannot be demonstrated to) lead directly to agreed on goals, but that are worthy of evaluation for their own sake and should be promoted. A recent study of several thousand students representative of the American high school population concluded that great numbers of students are developing little affinity to the democratic process simply because they have little opportunity to experience it during their school career. If this is so, is it not important that the process of education in the schools become a microcosm of the best of democracy as it is practiced in the greater society? And isn't this important whether or not such processes can be definitively shown to contribute to specific learning outcomes?

The importance of good processes as ends in themselves becomes even more important when one considers the fact that students spend around 12,000 hours in school, from kindergarten through the twelfth grade. The only other waking-hours activity that consumes as much time is television viewing. Considering these two facts, can one question the necessity that schooling be a wholesome and re-

warding experience, whether or not it results in specific learning outcomes?

It does not require a quantum leap to see some relationship between involving students in the democratic process in the schools and involving all those who will be affected by it in the process of evaluation. It is human nature for individuals to criticize those things that directly affect them, but that they have not been involved in developing. This is particularly true of an activity so potentially threatening as evaluation. Besides, full involvement in the decision-making process by those who are most affected by it will result in better decisions.

It is sometimes difficult to promote broad involvement in evaluation because of fear of loss of individual and group power; mistrust and suspicion also exist. This is particularly true when parents and students are suggested as appropriate participants in the evaluation process. Such suggestions are countered with arguments that educational evaluation is a highly complex matter requiring professional expertise that parents do not possess, and that students are too immature to "know what's good for them."

Both arguments are partially valid and should not be taken lightly. There are, unquestionably, professional matters that require high level professional judgments as to their appropriateness and success, and there are matters of program, performance, and outcomes on which students are ill-prepared to pass judgment. But because there are some things that students are not prepared to and probably should not evaluate, it does not necessarily follow that they should be excluded from evaluating other matters related to program, performance, and outcomes.

As for parents and other adults in the community, the broad goal setting for the schools is, by right and statute, their prerogative. It is their responsibility to provide for some of the most important program resources — financial support (which in large measure determines the adequacy of other program measures), teaching load, specialist help, materials, media, and facilities. Therefore, parents have a considerable contribution to make in evaluating both the overall achievement of school goals and the program elements they have helped shape.

Students evaluate their school continually—particularly on how it relates to

them as individuals. The way an institution appears to its clients is a judgment not to be taken lightly, no matter how vague the client's criteria may be. Although their evaluations of school may sometimes be biased, warped, and lacking in vision and objectivity, students should be encouraged to become involved in ways that are positive, constructive, and generally helpful to school improvement.

Degree of Involvement

All groups should be involved in all three components of the paradigm, but in different degrees for different purposes. Let me suggest, in broad terms, who should do what.

Goal setting for education should be fully shared among parents, school staff, and students.

Program evaluation should be largely the responsibility of the professional staff, with the aid of the parents in those areas related to financial resources and general school district organizational matters. Students have much to contribute on broad curricular matters. Their scope of involvement in evaluating these program elements will naturally depend on their age and maturity. Performance evaluation should primarily be the responsibility of staff and students. School staffs should be involved in all aspects of performance evaluation: deciding on goals and criteria, selecting or developing evaluating systems, applying and analyzing the findings, and determining the resulting actions. The staff should be involved in the decision making to a degree that reflects the staff composition. For example, teachers make up the majority of the school staff and should make up the majority of the decision-making group. They should be elected to these positions by their peers. Student representatives should be selected by students, and need to be involved in more than token numbers. They will need to be assisted in selecting and developing their own criteria for evaluating programs and performance.

The evaluation of educational outcomes is often a technical function requiring a high level of professional expertise. Decisions on assessment and on tests and measurements in the various branches of the curriculum should be mainly a staff function. But both community and students have a stake in deciding how well the broad goals and objectives are being accomplished.

The Result of Evaluating

The first implication of performance evaluation should be for staff development. Once performance inadequacies are identified, massive inservice activities may be required. In this regard, the relationships between the components emerge clearly. Inservice activities fall within the program component of the paradigm, and other elements in that component immediately come into play. (For example, inservice or staff development of any worth requires time and talent, each of which has important financial implications.) Good staff development programs can be tailored to respond to specific evaluation findings. If staff development is to meet the needs of today's and tomorrow's education, it must be drastically different from the typical week-before-school institutes of school districts or the cash register courses that schools of education offer.

This aspect of evaluation—the resulting actions—may be more significant than any yet discussed. Unless the findings from evaluating performance are used to identify and implement indicated programs for professional improvement, the whole process will not have been worthwhile.

Due Process Aspects

Since so much of evaluation in the present context relates to individuals, and since it may affect their professional status when the results are used for other than instructional improvement, it is essential that sound procedures for due process be included in any evaluation plan. Performance evaluation, particularly, is threatening to those who are being evaluated, and it is often an onerous task for those designated to carry it out, as well. The potential influence of evaluation decisions on human dignity and welfare ought to call up one's deepest feelings of conscience and sense of justice. Evaluation plans must provide for a process that is fair and humane, one in which justice is inherent.

It is not the intent of this article to deal in depth with general governance matters, negotiations, and contract language, but any evaluation program should embrace a written, binding agreement on both substantive and procedural due process that provides for open covenants openly arrived at, appropriate levels of appeal, and

arbitration machinery. *A Handbook on Negotiation for Improvement of the Profession* contains a section on contract language for evaluation that is useful for this purpose.² Clear and detailed agreements in this area protect the evaluatee from unfair treatment and the evaluator from litigation.

Priorities and Resources

It is essential that evaluation be placed in the broad context of program, performance, and learning outcomes; be based on multiple indices; and involve a wide variety of personnel in the process. All of this requires talent, time, and money. There will be few good solutions to the complicated problems of evaluation unless the profession and the public believe that it deserves major attention among America's priorities for education, and unless resources are allocated accordingly. The evidence at this time does not provide us with much reason for optimism.

The accountability movement appears to be hell-bent on putting the monkey on the teacher's back, with little regard for the important effects of program provisions on performance and with little apparent knowledge of the difficulty in relating performance to learning outcomes. Some of the most rigorous of the recent accountability laws lack financial provisions for implementation. California's Stull Act is a case in point. Some experts have estimated that it will cost \$50 to \$60 million to implement, and the California legislature has made no provision for such funding. School systems, under mandate to implement the act this year, will find themselves withdrawing funds from other important sources to do so.

Until both public and profession look on evaluation as an important, continuous activity in bringing about instructional improvement and an integral part of the instructional process itself, and until this view is reflected in the allocation of talent, time, and money, evaluation will continue to be an ineffective tool at best.

FOOTNOTES

1. Rosenshine, Barak, and Furst, Martha, in *Research in Teacher Education. A Symposium*. (Edited by B. Othanel Smith.) Englewood Cliffs, N.J.: Prentice-Hall, 1971. p. 56.

2. *A Handbook on Negotiation for Improvement of the Profession*. Washington, D.C.: National Education Association, 1971.

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EVALUATION OF TEACHER PERFORMANCE AND SCHOOL PROGRAMS: AN ANNOTATED BIBLIOGRAPHY

The evaluation of teacher performance is a complex and often sensitive matter that cannot, in all fairness, be separated from the evaluation of school programs. And when school programs are evaluated, the National Education Association believes that "educational practitioners at all levels should be involved." (Resolution 73-24)

NEA's Continuing Resolution (6) on Evaluation and Subjective Ratings states:

The National Education Association believes that it is a major responsibility of educators to participate in the evaluation of the quality of their services. To enable educators to meet this responsibility more effectively, the Association calls for continued research and experimentation to develop means of objective evaluation of the performance of all educators, including identification of (a) factors that determine professional competence; (b) factors that determine the effectiveness of competent professionals; (c) methods of evaluating effective professional service; and (d) methods of recognizing effective professional service through self-realization, personal status, and salary.

The Association also believes that evaluations should be conducted for the purpose of improvement of performance and quality of instruction offered to pupils, based upon written criteria and following procedures mutually developed by and acceptable to the teacher association, the administration and the governing board.

The Association insists that the evaluation program must recognize the rights of the educator who is evaluated. These include the right to:

This material has been prepared to assist members of the united teaching profession in their quest for professional excellence. More information is available from your local NEA representative and the NEA's Information Center on Instruction and Professional Development.

- a. Information concerning the evaluation procedure of the school district or institution.
- b. Open evaluation without subterfuge and advance notice of evaluation visits with discussion of the teacher's goals and methods.
- c. Evaluation at least in part by peers skilled in the teacher's professional or subject area.
- d. Consultation in timely fashion after a formal evaluation visit and receipt of and opportunity to acknowledge in writing any formal evaluation report prior to placement in a personnel file.
- e. Evaluation reports which assess strengths, note progress, indicate remaining deficiencies, and suggest specific measures the teacher can take to overcome indicated deficiencies.
- f. Participation in a professional development program including such activities as appropriate counseling and supportive services, released time for in-service work, and opportunity to observe or seek and give assistance to other teachers in classroom settings other than one's own.
- g. Access to all items in the educator's personnel file (except privileged communications relating to his initial employment in the school system or college or university), review of material prior to placement in the file, opportunity to attach a written response, and access to a procedure to remove inappropriate, unfounded material.
- h. Supervision which is constructive, provides an opportunity to correct deficiencies, takes into account the variety of learning and teaching environmental factors, and emphasizes career development of the professional educator.

The Association believes that examinations such as the National Teacher Examination must not be used as a condition of employment or a method for evaluating educators in service for purposes such as salary, tenure, retention, or promotion.

If the goals of a school are to be evaluated in human terms by a process that moves beyond the ingrown rituals of the testing-rating game, a much more comprehensive approach to the complicated problems of evaluation will be required. The following references are presented in an effort to help teachers and local association leaders examine this problem in more detail.

Abramson, Paul. "When Teachers Evaluate Each Other." Scholastic Teacher (Junior/Senior High School Teacher's Edition): 24-26; September 1972. Abramson presents a case for peer evaluation, discussing some systems that are in operation, some points of disagreement, and what its future might be.

American Association of Colleges for Teacher Education. Performance-Based Teacher Education: An Annotated Bibliography. PBTE Series No. 7. Washington, D. C.: the Association and ERIC Clearinghouse on Teacher Education, 1972. 53 pp. The entries in this bibliography, grouped under nine categories, include selections from the literature on defining, improving, and assessing teacher competence.

Amidon, Peggy. Nonverbal Interaction Analysis: A Method of Observing and Recording Nonverbal Behavior. Chicago: Association for Productive Teaching, 1971. 196 pp. A manual to help the educator develop an awareness of nonverbal behavior, which is complementary to and independent of the verbal realm, to give a complete picture of the classroom. The purpose is to enable the teacher to identify nonverbal components of behavior (including dimensions other than behavioral of the teacher's role as classroom leader) and to understand their influence on verbal interaction and the classroom climate.

Armstrong, Harold R. A Teacher's Guide to Teaching Performance Evaluation. Worthington, Ohio: School Management Institute, 1972. 24 pp. This booklet discusses what is done "with" rather than "to" teachers, describing from the evaluatee's viewpoint the entire performance evaluation cycle and emphasizing techniques in setting job targets, using monitored data, self-evaluation, and evaluation conference preparation and participation. Also included are discussions of the importance of behavioral objectives in setting goals, the power of self-evaluation, requirements for documentation of performance data, and the need for mutual trust between evaluator and evaluatee.

Beegle, Charles W., and Brandt, Richard M., editors. Observational Methods in the Classroom. Washington, D. C.: Association for Supervision and Curriculum Development, 1973. 85 pp. A collection of conference papers dealing with the areas of values, problem, and design considerations and observational methodology for congruency testing of the intentions and realities of schooling.

Beller, E. Kuno. "Teacher Evaluation: Why, What, and How?" Peabody Journal of Education 48: 125-39; January 1971. A comprehensive understanding of teacher evaluation necessitates careful scrutiny of the questions of function, content, and methods. The attempt here is to examine these issues in the light of major studies and to propose directions for future study.

California Junior College Association. The Evaluation of Community College Teaching: Models in Theory and Practice. Sacramento: the Association, April 1972. 100 pp. Proceedings of a 1972 conference, including papers on teachers and evaluation, a performance-centered model, a learner-centered model, a management model, faculty roles, administrator's role, trustees' roles, and the student's role. Appendixes include sample forms, a faculty development model, and a bibliography.

California Teachers Association. Six Areas of Teacher Competence. Burlingame: the Association, 1964. 50 pp. Areas of teacher competence are defined in detail and illustrated; questions are provided to assist teacher associations, colleges, supervisors, and others in their study of competence. The competences or roles considered are learning director, counselor, cultural mediator, community link, staff member, and member of the profession.

Critical Incidents in Teacher Evaluation. (60-min. audiotape cassette.) Worthington, Ohio: School Management Institute, 1972. George Redfern discusses the most difficult aspects of performance evaluation. This is for listening by evaluators especially and by evaluation program planners, including teacher group leaders, and covers such things as negative evaluations, alternatives to dismissal, ethics, and teacher organization involvement.

De Vaughn, J. Everette. A Manual for Developing Reasonable, Objective, Non-Discriminatory Standards for Evaluating Teacher Performance. State College: Educational Services Center, Mississippi State University, September 1971. 29 pp. Procedures, processes, and forms for evaluating professional growth and service, with emphasis on beginning teachers. Eight assumptions are listed: (1) educational goals are expressed in student behavior terms; (2) objectives are established in the affective domain; (3) the psychomotor domain is given attention at early childhood levels; (4) teacher behavior is modified to involve learners in setting objectives and determining levels of participation; (5) the approach to student evaluation is behavioral; (6) the teacher is evaluated in behavioral terms; (7) the supervisor is aware of the behavioral modifications expected; (8) teachers are freed from guilt feelings concerning their performance.

Evaluating Teaching Performance. (Three 40-frame color filmstrips and LP records with 18-page discussion guide and instructions.) Worthington, Ohio: School Management Institute, 1970. Part I, "Overview," discusses traditional rating and contrasting performance evaluation, explaining success criteria, how job targets are established, evaluation, conference and follow-up. Part II, "Mechanics of Evaluation," deals with specifics of the evaluator-evaluated relationship in target setting, implementation, monitoring of data, self-evaluation, and evaluation conference details. These are for in-service training sessions and can be used along with the motion picture entitled Successful Teacher Evaluation; discussion questions are appropriate for both. Part III, "Suggestions for Instituting a Program," discusses setting up an evaluation committee, determining program objectives, operational procedures, records, forms, orientation and training, major policy decisions to be made, and ways to evaluate the program.

Evaluation of Education. Educational Technology Review Series No. 11. Englewood Cliffs, N. J.: Educational Technology Publications, January 1973. 133 pp. Selected articles from recent issues of Educational Technology magazine. Among topics covered are institutionalization of evaluation, approaches to assessing evaluation and educational planning, context evaluation of instruction, future of administration and educational evaluation, functions of evaluation

specialists, decision levels, examination of different evaluation models in different contexts, films in evaluation, and measuring educational priorities.

Flanders, Ned A. Analyzing Teaching Behavior. Reading, Mass.: Addison-Wesley Publishing Co., 1970. 448 pp. This book includes a wide range of material on verbal interaction analysis geared for varying degrees of understanding and is written for both classroom and student teachers, for those either experienced or inexperienced in coding communications, and for researchers. Flanders explains the concepts and techniques for analyzing verbal communication in the classroom, including a description of and suggestions for using his 10-category system. One chapter reviews research on teaching effectiveness based on interaction analysis.

Frye, Helen B. Development and Initial Validation of the Teaching Situation Reaction Test (Elementary Form): A Measure of Teacher Effectiveness. Dayton, Ohio: Research Institute, Dayton University, 1972. 11 pp. The TSRT (elementary form), an adaptation of the measure for secondary teachers, was administered to 210 volunteer intermediate grade teachers. In-depth study was done on two groups (high and low scorers), comparing them on 25 factors in four categories: personal, classroom, school environment, and performance. One-way analysis of variance was made by computer, comparing the groups on all factors; and the F-test was applied to determine significant differences. Results indicate that high and low scorers represent different samples of the population. Further conclusions are indicated. Included are a bibliography and related research material.

Gage, N. L., editor. Mandated Evaluation of Educators: A Conference on California's Stull Act. Stanford: Center for Research and Development in Teaching, School of Education, Stanford University, 1973. 357 pp. Assembly Bill 293, which recently became effective in California, requires that all school districts in the state adopt a uniform set of guidelines for use in evaluating certificated personnel. This conference of experts was called to consider some of the complex and sensitive problems inherent in implementing the bill -- problems in measurement, evaluation, and statistical analysis; in definition of achievement; and in law and administration. These proceedings "comprise a searching and constructively critical analysis of the Stull Act" to help those who must comply with it and "should also be of interest to readers in other states where similar legislation is being considered or adopted."

Goode, Delmer M., editor. "Evaluation: Guide and Guardian." Improving College and University Teaching 21: 1-76; Winter 1973. This special issue is a collection of 29 articles dealing with the improvement of teaching in higher education through evaluation of performance, programs, and achievement. About half are on student evaluation of teachers, including an extensive bibliography.

Henney, Maribeth, and Mortenson, W. Paul. "What Makes a Good Elementary School Teacher?" Journal of Teacher Education 24: 312-16; Winter 1973. In this study designed to identify desirable teaching characteristics, a panel of parents, teachers, and administrators

observed videotapes of reading instruction and recorded positive and negative comments, using no predetermined criteria. From a compilation of these comments was derived a positively stated list of characteristics in eight categories: (1) knowledge of content, (2) methods of presentation, (3) lesson activities, (4) learning atmosphere, (5) relationship to children, (6) individual differences, (7) challenging thinking, (8) building independence. The authors point out the limitations of their study and make recommendations for further research.

House, Ernest R., editor. School Evaluation: The Politics and Process. Berkeley, Calif.: McCutchan Publishing Corp., 1973. 331 pp. A collection of 24 of some of the best, most current writings in the field of evaluation to acquaint decision makers with the subject in a unique way. The political nature of evaluation is the major theme, another views evaluation in its larger social context, and a third theme deals with the relationship between decision making and evaluation.

Houts, Paul L., editor. "Evaluating School Personnel." National Elementary Principal 52: 10-98; February 1973. Widespread criticism of schools, the accountability movement, and the trend toward state mandated evaluation are putting intense pressures on educators to evaluate. The 19 articles in this special issue represent a wide range of views and approaches for the purpose of providing a clearer perspective on and greater understanding of the evaluation process. Contributors are Harold Armstrong, Robert Bhaerman, John Bolen, Dale Bolton, Robert Carlson, Everette De Vaughn, Patrick Dolan, William Drummond, Robert Howsam, Madeline Hunter, Bernard McKenna, Charles McKenna, Harold McNally, Donald Medley, Benson Munger, William Pharis, Lorraine Poliakoff, James Popham, George Redfern, and Warner Tobin. (Reprints of "A Context for Teacher Evaluation" (Bernard McKenna) are available from NEA-IPD.)

Howard, Clare, and Miles, Betty. "The Teacher Rating Game: New Ways To Play It." Scholastic Teacher (Elementary Teacher's Edition): 8-15; January 1974. Three articles on (1) how teacher evaluation is changing, (2) self-evaluation for self-improvement, and (3) student rating of teachers.

Indicators of Quality (Vincent and Olson School Evaluation Services, Box 22, Salisbury, Connecticut 06068). Indicators of Quality is an instrument for obtaining quantitative measures of school quality by observation of critical behavior in the classroom. Its primary purpose is to serve as a criterion in school quality studies. It is based on four characteristics of internal school behavior judged by research and field testing to be basic quality criteria: individualization, interpersonal regard, creativity, and group activity. Indicators of Quality materials are not available for general distribution, but a complete application, scoring, and report service entailing the use of outside trained observers is available.

Jacobson, Joan. "Should Students Evaluate Teachers?" Today's Education 62: 49; May 1973. (Reprint available from NEA-IPD.) This teacher, wanting to know what her students thought of her teaching, began using a commercial product and then an instrument developed cooperatively with her classes. She presents briefly some

significant findings and lists the statements for evaluating the academic area, general areas, and personal qualifications.

Jones, A. S. "Realistic Approach to Teacher Evaluation." Clearing House 46: 474-81; April 1972. Jones says that "dissatisfaction with the existing procedures of teacher evaluation is widespread. In effect it has become an ongoing tradition having little relationship to instructional improvement." He presents here a process which he has found to be satisfactory for "resurrection" of evaluation as a progressive component of the school system, detailing purposes, rationale, objectives, procedures, and instruments for evaluation by the principal, self, and students.

Koblitz, Minnie W. "Judging the Teacher." Today's Education 62: 47-48; April 1973. Should the teacher in an open classroom be evaluated by the same procedures as the teacher in a traditional one? This dialogue between two such teachers points up some necessary differences and important common denominators.

Kult, L. W. "Alternatives to Teacher Evaluation." Clearing House 47: 277-79; January 1973. The author outlines major inequities in evaluation, some implications of these inequities, and suggests three solutions -- anonymous evaluation via videotape; evaluatee selection of his evaluators from among possible choices; improvement through writing of units, reports, professional articles, etc.

Lewis, James J. Appraising Teacher Performance. West Nyack, N. Y.: Parker Publishing Co., 1973. 227 pp. Lewis proposes abandoning the comparative rating of teachers, substituting administrator-teacher agreement on the quality of performance; and further, substituting a focus on teacher improvement for the old focus on shortcomings. In his proposed performance approach to teacher evaluation he presents practical material on implementing and administering the program, defining the structure, writing performance objectives, developing skill objectives, setting innovative objectives, formulating personal development objectives, counseling, and motivation and perception.

McCluskey, Lawrence. "Program Evaluation: An Overview." MSSC Exchange (Metropolitan School Study Council) 31: 1-5; February 1973. Four models of educational evaluation are presented: (1) Classical type model, which includes guidelines for formulating, classifying, and defining behavioral objectives; achieving objectives; appraisal; and interpreting performance data. (2) Accreditation model, emphasizing the process of education rather than outcomes. (3) Systems model, which encompasses the idea of evaluation as a management feedback system. (4) Discrepancy model, combining the best available methods for using evaluation as a program development tool.

McKenna, Bernard H. Staffing the Schools. New York: Bureau of Publications, Teachers College, Columbia University, 1965. Research findings of several hundred studies on how many professionals are needed for the schools, how they should be deployed, and what should be their characteristics.

- . "Teacher Evaluation--Some Implications." Today's Education 62: 55-56; February 1973. (Reprint available from NEA-IPD.) Following a succinct presentation of how it is vs. how it ought to be, teacher evaluation is considered in the broader context of evaluation of program, performance, and learning outcomes.
- McKenna, Bernard H.; Mueller, Dorothy G.; and Poliakoff, Lorraine. Teacher Evaluation: An Annotated Bibliography. Washington, D. C.: ERIC Clearinghouse on Teacher Education, November 1971. 25 pp. In the introduction to this 86-item bibliography, McKenna gives his views on teacher evaluation and his impressions of the documents cited. The bibliography was compiled from a search of ERIC's Research in Education and Current Index to Journals in Education.
- McNally, Harold I. "Teacher Evaluation That Makes a Difference." Educational Leadership 29: 353-57; January 1972. Evaluation with the objective of improving learning should be a cooperative study of the entire teaching-learning situation. This includes the teacher, students, facilities, available materials, staff concept of education, pupil evaluation, grading and reporting, and schedules.
- McNeil, John D. Toward Accountable Teachers: Their Appraisal and Improvement. New York: Holt, Rinehart and Winston, 1971. 176 pp. The intention here is to provide practical procedures for identifying strengths and weaknesses of teachers and to delineate specific courses of action for overcoming instructional deficiencies. This book is for teachers who want to study their own teaching and for supervisors who have responsibilities for helping teachers to become more effective with pupils and who want to be fair in their assessment of teachers. The central aim is to allow pupil progress to become one of the criteria on which teachers are judged.
- McNeil, John D., and Popham, W. James. "The Assessment of Teacher Competence." Second Handbook of Research on Teaching. (Edited by R. M. W. Travers.) Washington, D. C.: American Educational Research Association, 1973. Chap. 7, pp. 218-44. Since various views exist about what teaching effectiveness is and there are numerous applications of the construct, the authors attempt here to delineate many of the research activities of those with particular bent and to put them into a framework which will relate them to (a) practitioners who must make on-the-job decisions about teachers, and (b) investigators seeking knowledge about teaching. Their purpose is to shed some light on practices that are sapping fruitful inquiry and confusing decision-making procedures.
- Merwin, Jack C. Performance-Based Teacher Education: Some Measurement and Decision-Making Considerations. PBTE Series No. 12. Washington, D. C.: American Association of Colleges for Teacher Education, June 1973. 33 pp. This paper highlights the magnitude and complexities of the issues surrounding the evaluation problem in PBTE. Merwin takes brief note of past attempts to deal with performance measurement in educational settings, considers how the assessment needs of course-based teacher education compare with those of PBTE, and examines some "why" and "how" questions about measurement aspects of a PBTE program.

Mueller, Dorothy G. "How To Evaluate Teaching." Journal of Teacher Education 22: 229-44; Summer 1971. A review of selected research in the collections of ERIC and the Clearinghouse on Teacher Education. The annotated bibliography includes 75 items.

National Education Association. Profiles of Excellence: Recommended Criteria for Evaluating the Quality of a Local School Program. Washington, D. C.: the Association, 1966. 126 pp. Nine groups of 119 brief evaluative questionnaires designed to help local professional associations and school officials in the self-analysis of their school system operation and in identifying areas needing improvement. The main topics covered are educational program; administrative operation; board of education; staff personnel policies and procedures; professional compensation; conditions of professional service; school plant; district organization, finance, and business administration; local professional association.

National Education Association, Instruction and Professional Development. "The Evaluation of Teachers." Briefing Memo. Washington, D. C.: the Association, January 1974. A concise treatment of the need for equitable evaluation of teachers, with discussion of the teaching environment, a three-part model for evaluation, and some important questions which must be resolved.

. Evaluation Systems for Education: Descriptive Abstracts. Washington, D. C.: the Association, March 1973. 32 pp. Thirteen systems were selected for inclusion in this collection. Each abstract describes briefly the purpose of the system, its criteria, how it works, and availability.

. Planning the Evaluation of Educators: A Simulation. Washington, D. C.: the Association, March 1972. \$15. Companion film-strip-tape package, \$15. This printed package for a four-hour workshop (each package serves eight participants) includes a director's handbook, and for each participant, role descriptors, simulation description and rules of procedure, guidelines for planning an evaluation system, reference materials, and descriptions of evaluation systems. The goal is for participants to experience the positions and attitudes of persons who should make decisions about staff evaluation in a school district, major issues that must be considered in planning for it, and selection of instruments that have been developed through research, testing, and experience.

"New Approaches in the Evaluation of School Personnel." NEA Research Bulletin 50: 40-44; May 1972. This article summarizes two 1971 surveys of school personnel evaluation procedures--one for administrators/supervisors and one for teachers (see Stemnock)--which document some new approaches which might remove objectionable aspects of traditional evaluation systems. New methods discussed are use of multiple evaluators, performance objectives, multiple bases, in-basket data, and student performance.

New York State Education Department, Bureau of School Programs Evaluation. What Research Says About Improving Student Performance. Albany: the Department, March 1973. 30 pp. A brief,

nontechnical report on a review of nearly 100 research studies characterized by the relating of resources to outcomes in order to understand more completely the "production function" in education. The findings were summarized and interpreted to provide tentative answers to 10 stated questions on variables related to performance, including student characteristics and backgrounds, personnel-related factors, materials and equipment, and finance. A bibliography of the studies used is included.

Ohio Education Association, Instructional Services Division. Teacher Evaluation. Interface on Learning Series. Columbus: the Association, n.d. 179 pp. According to the foreword, this collection of materials reflects OEA's belief that "teacher evaluation can and should be directed toward each teacher developing his own needs for in-service education" and that it is administration's responsibility to provide for that education. It includes a definitive statement on evaluation, a prototype of a practical appraisal system, four models of appraisal procedures, a research analysis, strategy, positions of the OEA and the New Jersey Education Association, guidelines developed by the St. Louis Suburban Teachers Association, a listing of evaluation systems and resources, two urban evaluation programs, examples of position descriptions, fair dismissal standards, and a bibliography.

Olds, Robert. Self-Evaluation for Teachers and Administrators. Worthington, Ohio: School Management Institute, 1973. 64 pp. According to Olds, the success of an evaluation plan aimed at improvement of performance depends more on self-involvement and self-evaluation than any other factor. He describes in detail self-evaluation methods in the setting of performance objectives, the monitoring of performance data and data-producing activities, conducting the evaluation, and participating in follow-up conferences. Instructions are given for developing a personalized instrument.

Poliakoff, Lorraine. Evaluating School Personnel Today. Washington, D. C.: ERIC Clearinghouse on Teacher Education, January 1973. 11 pp. A review and bibliography of selected literature in the ERIC system dealing with evaluation of administrators, student evaluation of teachers, and the teacher's role in evaluation.

Popham, W. James. Evaluating Instruction. Englewood Cliffs, N. J.: Prentice-Hall, 1973. 157 pp. Included in this volume of six teacher self-instruction programs for improving expertise in evaluating learning activities are two units on constructing and using teacher performance tests. Other units deal with current conceptions of evaluation, modern measurement methods, instructional supervision (a criterion-referenced strategy), and alternative avenues to educational accountability.

Postman, Neil, and Weingartner, Charles.. How To Recognize a Good School. Bloomington, Ind.: Phi Delta Kappa Educational Foundation, 1973. 42 pp. A concise treatment of the school reform movement, including a 15-year mini-history of school criticism, a statement on how schools operate, and indicators of what makes

a good school classified under several headings: time structuring; activity structuring; defining intelligence, knowledge, and behavior; evaluation; supervision; role differentiation; accountability.

Provus, Malcolm. Discrepancy Evaluation for Educational Program Improvement and Assessment. Berkeley, Calif.: McCutchan Publishing Corp., 1971. 380 pp. A model based on the concept that evaluation is the art of describing a discrepancy between expectation and performance. The book establishes that educational programs are enormously complex and must be evaluated in stages relative to their development and stability. The values that shape a program and influence estimates of its success are carefully explored. "Use of the model should result in improvement of existing school programs, establishment of new and better programs, greater accountability of educators to the public, and wiser decisions by school administrators."

Redfern, George B. How To Evaluate Teaching: A Performance Objectives Approach. Worthington, Ohio: School Management Institute, 1972. 112 pp. Redfern presents here an evaluation model, analyzing six basic components that are essential to the performance-oriented procedure: performance criteria, performance objectives, performance activities, monitoring performance, assessing data, and conference and follow-up. In addition, he discusses materials and tools needed for evaluation, utilization of outcomes, the principal's attitude and role, pathways and pitfalls, and administrator evaluation.

Rosenshine, Barak. Teaching Behaviors and Student Achievement. IEA Studies No. 1. New York: Humanities Press, 1971. 229 pp. A review of some 50 studies, with primary emphasis on the relationship between observed or perceived behaviors (or activities) of teachers during instruction and their relationship to measures of student gain. Studies of other potentially influential variables are also included--allocations of time, student perceptions of course difficulty, and indirect measures of teacher behavior (e.g., attitude toward teaching, subject matter preparation, knowledge of subject).

Russell, James D. "Assessment of Teaching Competencies." Developing Teacher Competencies. (Edited by James Weigand.) Englewood Cliffs, N. J.: Prentice-Hall, 1971. pp. 306-16. Concluding a programmed textbook for teacher self-instruction, Russell suggests possible ways for the teacher to evaluate himself, including audiotape recordings, videotapes, interaction analysis, and the evaluation of specific competencies in seven areas.

Ruth, Leo. "The Testing of Teachers." English Journal 61: 1370-71; December 1972. Ruth cites provisions of California's Stull Bill relating to required teacher evaluation and the danger of relying on standardized achievement test results as a primary measure. He explores some issues in testing and refers to selected literature "that will help broaden understanding of the sources of error in testing and its monumental social consequences."

Ryans, David G. Characteristics of Teachers--Their Description, Comparison, and Appraisal: A Research Study. Washington, D. C.: American Council on Education, 1960. 416 pp. This is a complete report of a nine-year investigation to identify some major patterns of teacher behavior, attitudes, viewpoints, and intellectual and emotional qualities. The study also developed instruments suitable for the estimation of patterns of classroom behavior and personal qualities.

Sandefur, J. T., and Bressler, Alex A. Classroom Observation Systems in Preparing School Personnel. Washington, D. C.: ERIC Clearinghouse on Teacher Education, March 1970. 32 pp. This state-of-the-art paper describes the more important classroom observation systems grouped into affective, cognitive, and multidimensional categories. Among conclusions suggested are that the systems (affective being the most widely used) have contributed to a greater emphasis on laboratory experience and "humanizing" teaching. A 32-item bibliography is appended.

Shaw, Jane S. "Students Evaluate Teachers and (Better Sit Down) It Works." Nation's Schools 91: 49-53; April 1973. Across the country formal programs of student evaluation of teachers are replacing the more casual approaches taken in the past. Shaw discusses programs which are operating in a number of school districts and the forms developed for them. A brief, annotated list of selected evaluation forms and how to get them is included.

Simon, Anita, and Boyer, E. Gil, editors. Mirrors for Behavior: An Anthology of Classroom Observation Instruments. Philadelphia: Research for Better Schools, 1967-70. Vols. I-XIV and Summary. Available from selected university libraries and R&D centers through interlibrary loan. This collection of 79 classroom observation systems includes descriptions and rationales written by authors of the systems and, when available, research study findings, user's manuals, and other supplementary materials. Type of communication measured and learning setting vary widely among instruments. The summary volume includes a 700-item bibliography.

Smithman, Harold H., and Lucio, William H. "Supervision by Objectives: Pupil Achievement as a Measure of Teacher Performance." Educational Leadership 31: 338-44; January 1974. This article is based on an unpublished doctoral study whose purposes were to determine the extent to which supervision by objectives would increase pupil achievement and to discover whether this process resulted in evaluations of teaching more germane to instructional performance. Pupils whose teachers were evaluated by objectives outperformed pupils whose teachers were evaluated on a rating scale. The teachers involved expressed a preference for evaluation in terms of pupil performance.

Soar, Robert S. "Accountability: Assessment Problems and Possibilities." Journal of Teacher Education 24: 205-12; Fall 1973. Part of a "Symposium on Performance-Based Teacher Education," this paper discusses two major strategies in the evaluation of teaching skills--measurement of pupil growth and measurement of teaching behavior. Soar comments that "if programs of accountability on

competency-based teacher education are to be implemented, systematic observation appears to be one of the more promising assessment procedures for measuring teaching skill." He concludes by raising some illustrative questions on responsibilities of schools and society which "seem not to be included in discussions of accountability," asking, "Are they relevant, or is only the teacher accountable?"

Stemnock, Suzanne K. Evaluating Teaching Performance. Educational Research Service Circular No. 2, 1972. Washington, D. C.: National Education Association, 1972. 60 pp. This circular provides information on techniques being used to evaluate teaching performance. Responses to a questionnaire by 155 school systems 25,000 and over in ADM are tabulated and coded by enrollment size. Purposes of evaluation, frequency of evaluation, evaluators, evaluation procedures, and appeal procedures are covered. Ten representative forms are appended.

_____. Evaluating the Evaluator. Circular No. 4, 1973. Arlington, Va.: Educational Research Service, 1973. 48 pp. An updated report on client-centered evaluation, including some statistics and sample forms gathered in a survey of school practices in 768 systems enrolling 12,000 or more pupils. In a 60 percent response, more systems reported student evaluation of teachers than any other type of client-centered evaluation, although only two reported it as being system-wide. However, the survey yielded more forms for teacher evaluation of principals than for the former type. Seven forms for student evaluation of teachers are included among those selected for reproduction in the report. A bibliography is devoted largely to student ratings, and a list of commercially available client-centered evaluation forms is appended.

Stufflebeam, Daniel L., and others. Educational Evaluation and Decision Making. Bloomington, Ind.: National Study Committee on Evaluation, Phi Delta Kappa, 1971. 368 pp. The four major objectives of this study were to delineate the state of our knowledge about the evaluation process, to examine existing models, to synthesize their strengths into a new model, and to provide operational guidelines for implementing it. The new model interrelates four types of evaluation--context, input, process, and product. A glossary of terms is included.

Successful Teacher Evaluation. (Motion picture, 10 min., sound, color.) Worthington, Ohio: School Management Institute, 1972. This film is designed for multiple showings in training programs for evaluators and evaluatees and covers objectives of performance evaluation. A six-step evaluation cycle is explained with animation and photography. Two demonstration target-setting sessions show common difficulties. Conditions are given for evaluation conferences. Two common problems are dramatized in teacher-principal situations. Host George Redfern gives tips for program success. The film is of greatest value in repeat and stop-start showings with discussion and role playing. (See also Evaluating Teaching Performance filmstrips.)

Target Setting in Teaching Performance Evaluation. (60-min. audio-tape cassette.) Worthington, Ohio: School Management Institute, 1973. Devoted to techniques involved in the setting of performance objectives on "targets" in the evaluative procedure. Recorded portions of real target-setting sessions are used to illustrate this procedure, which is demanding of skills of evaluatees and evaluators.

Tobier, Arthur, editor. Evaluation Reconsidered: A Position Paper and Supporting Documents on Evaluating Change and Changing Evaluation. New York: Workshop Center for Open Education, City College, May 1973. 78 pp. The position statement, which "judge(s) external assessment and find(s) the present situation wanting," is followed up by a collection of papers presenting other issues and perspectives, alternative approaches to evaluation, diagnostic instruments, the visiting committee report on the Vine School in Cincinnati, and excerpts from a study by the Center for the Study of Responsive Law.

Watman, Thomas J. Series of articles on "Improving Teacher Effectiveness." Clearing House 46: 190-92, November 1971; 254-56, December 1971; 319-20, January 1972; 382-84, February 1972; 447-48, March 1972; 510-12, April 1972; 567-68, May 1972. This series of separately titled articles focuses on how to avoid the possibility of no growth or lessening effectiveness of teachers even as they become more experienced. Most are addressed to the teacher, discussing a process for self-appraisal and improvement; procedures for improving techniques; evaluating the classroom setting, activities, and materials; measuring interaction; sources of instruments for student evaluation of schools and teachers, for measuring teacher aptitude and attitudes, and for teacher self-evaluation; and becoming more professional. The final article deals with establishing a system that attempts to make compatible the two major goals of supervision--assisting teachers to improve their effectiveness and providing a basis for promotion, transfer, retention, or dismissal.

Wicks, Larry E. "Opinions Differ: Teacher Evaluation." Today's Education 62: 42-43; March 1973. Although it is generally agreed that teacher evaluation is needed, there are conflicting views on why the need exists, the goals and purposes, evaluative criteria, how to do it, who should do it, and even on whether evaluation can be meaningful. This article describes briefly a joint national-state-local association project on evaluation and includes some excerpts from guidelines developed by the Minnesota Education Association.

**nea council on instruction
and professional development
1973-74**

The Council is broadly representative of the united teaching profession and serves as an advisory group to NEA governing bodies and to the NEA Instruction and Professional Development staff. Council members, who are appointed by the NEA president for three-year terms, provide IPD staff a continuing dialogue with practitioners.

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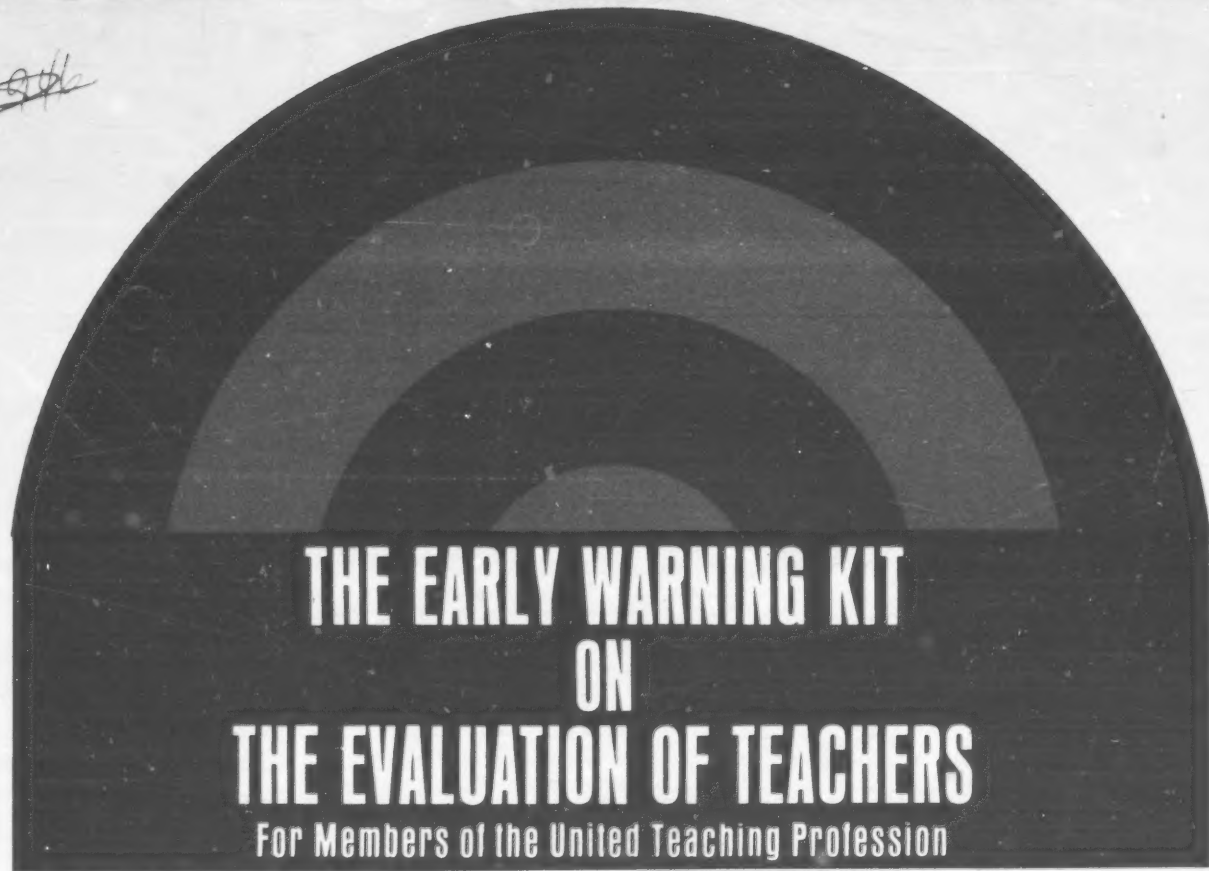
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SP-946



**THE EARLY WARNING KIT
ON
THE EVALUATION OF TEACHERS**
For Members of the United Teaching Profession



INSTRUCTION AND PROFESSIONAL DEVELOPMENT—NATIONAL EDUCATION ASSOCIATION, 1201 16TH ST., NW, WASHINGTON, DC 20036

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For Members of the United Teaching Profession

First Revision, January 1974

**Instruction and Professional Development
National Education Association
1201 16th Street, N.W.
Washington, D. C. 20036**

ipcd toward professional excellence

NEA RESOLUTION C-6

EVALUATION AND SUBJECTIVE RATINGS

The National Education Association believes that it is a major responsibility of educators to participate in the evaluation of the quality of their services. To enable educators to meet this responsibility more effectively, the Association calls for continued research and experimentation to develop means of objective evaluation of the performance of all educators, including identification of (a) factors that determine professional competence; (b) factors that determine the effectiveness of competent professionals; (c) methods of evaluating effective professional service; and (d) methods of recognizing effective professional service through self-realization, personal status, and salary.

The Association also believes that evaluations should be conducted for the purpose of improvement of performance and quality of instruction offered to pupils, based upon written criteria and following procedures mutually developed by and acceptable to the teacher association, the administration and the governing board.

The Association insists that the evaluation program must recognize the rights of the educator who is evaluated. These include the right to:

- a. Information concerning the evaluation procedure of the school district or institution.
- b. Open evaluation without subterfuge and advance notice of evaluation visits with discussion of the teacher's goals and methods.

(See over)

- c. Evaluation at least in part by peers skilled in the teacher's professional or subject area.
- d. Consultation in timely fashion after a formal evaluation visit and receipt of and opportunity to acknowledge in writing any formal evaluation report prior to placement in a personnel file.
- e. Evaluation reports which assess strengths, note progress, indicate remaining deficiencies and suggest specific measures the teacher can take to overcome indicated deficiencies.
- f. Participation in a professional development program including such activities as appropriate counseling and supportive services, released time for in-service work, and opportunity to observe or seek and give assistance to other teachers in classroom settings other than one's own.
- g. Access to all items in the educator's personnel file (except privileged communications relating to his initial employment in the school system or college or university), review of material prior to placement in the file, opportunity to attach a written response, and access to a procedure to remove inappropriate, unfounded material.
- h. Supervision which is constructive, provides an opportunity to correct deficiencies, takes into account the variety of learning and teaching environmental factors, and emphasizes career development of the professional educator.

The Association believes that examinations such as the National Teacher Examination must not be used as a condition of employment or a method of evaluating educators in service for purposes such as salary, tenure, retention, or promotion.

THE EARLY WARNING KIT
on
THE EVALUATION OF TEACHERS

The Early Warning Kit can help members of a local association to—

1. Examine ways in which teachers are being evaluated.
2. Assess the appropriateness of instruments being used to measure teacher performance.
3. Assure that teachers are held accountable only for those activities that may be expected of professionals.
4. Guarantee due process for teachers.
5. Assure that evaluation results are used in designing in-service education for teachers.

The Early Warning Kit

Education association members can use this Kit to stimulate discussion and action about teacher evaluation.

Additional information on choosing evaluation instruments, assessing the reliability of evaluation instruments, and implementing evaluation procedures is available from the National Education Association to help the local association take appropriate action. Write to IPD Program and Performance Evaluation, National Education Association, 1201 16th Street, N.W., Washington, D.C. 20036, or call (202) 833-4187.

We hope the Early Warning Kit will help you. We also hope the Kit helps accomplish the intent of NEA Resolution C-6 on evaluation. (See the last card.)

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HOW TO USE THE EARLY WARNING KIT ON THE EVALUATION OF TEACHERS

Teachers everywhere are being evaluated—and more than ever before. Teachers are being evaluated so that they will be held accountable for their teaching performance and for the achievement of their students. Sometimes teachers are being unfairly and unjustly evaluated.

The Early Warning Kit on the Evaluation of Teachers consists of a series of 10 Warning Cards and a Summary Card with questions suggested for consideration by members of a local education association. The questions can be answered by circling either YES, NO, or DON'T KNOW. On the back of each card is a WARNING: suggestions about one aspect of the evaluation of teachers which teachers may want to use in deciding what action the local education association should take.

The purpose of this Kit is to assist members of the United Teaching Profession (a) to examine the ways in which they are being or may be evaluated, (b) to assess the appropriateness of instruments being used to measure their performance, (c) to assure that they are held accountable for only those activities that may be expected of a professional, (d) to guarantee due process for teachers, and (e) to assure that information will be used appropriately in designing in-service teacher education.

If the Kit is used in a group, one person can record the responses on the Tally Card. This information can be used by the local association as data on teacher involvement in the evaluation process.

It should be noted that teacher evaluation is only one component of a larger kind of evaluation—that of the program of a school district. While this Kit deals only with teacher evaluation, it is important to note that the association's concern should go beyond that to include evaluation of the entire educational program, including the circumstances and factors which influence teacher performance.

See Cards D and E for suggested workshop plans.

TWO-HOUR WORKSHOP PLAN FOR USING THE EARLY WARNING KIT ON THE EVALUATION OF TEACHERS

Prepared by Dan Moriarty, Minnesota Education Association

1. First study the 10 Warning Cards.
 - 1.1 Check content for application to the local situation, dropping or changing cards as necessary.
 - 1.2 Combine cards if possible (for example, 2 and 3, 8 and 10).
 - 1.3 Drop the Summary Card if it is not yet appropriate.
 - 1.4 Check the wording of the WARNING on the back of each card and rewrite if necessary.
 - 1.5 Revise the Tally Card as necessary.
2. Reproduce enough revised Warning Cards to supply one set per table and enough Tally Cards to supply each participant (for individual tallies), plus one for the table tally.
3. Allow at least two hours for the activity. The room set-up should include:
 - 3.1 Enough tables for 5-6 persons each, supplied with one set of Warning Cards and the appropriate number of Tally Cards and pencils.
 - 3.2 Newsprint, marker, and tape - or plenty of blackboard space.
4. Assign participants to tables as they enter. Have each table group select a moderator/recorder (or both).
5. Introduce the purpose of the activity: *To decide what course the local association should take in regard to teacher evaluation* by determining what participants know and don't know, what they believe, what they want, what they need, and where they want to go from there.

(See over.)

6. Present an overview of the activity.
 - 6.1 Eight to ten buzz sessions (10-15 minutes each) on separate or combined Warning Cards. List the sessions and times on newsprint or blackboard.
 - 6.2 A sharing of table reactions after the buzz sessions (20-30 minutes).
7. Give instructions and begin the activity.
 - 7.1 Table moderator reads lead-off question on Warning Card 1 and participants respond in writing on their tally cards.
 - 7.2 Moderator asks for and records the table tally.
 - 7.3 Moderator reads other questions in turn and participants respond orally.
 - 7.4 Moderator (or recorder) records significant points of this buzz session.
 - 7.5 Near the end of the time limit, the moderator reads the WARNING on the back of the card and checks the group's thinking for agreement or disagreement.
 - 7.6 Moderator moves on to Warning Card 2, etc.
8. Call for conclusion of the buzz sessions at the appropriate time and begin the sharing of table reactions.
 - 8.1 Read the lead-off question on Warning Card 1.
 - 8.2 Tally responses of all the tables on newsprint or blackboard.
 - 8.3 Determine consensus, requesting comments from the tables to explain different points of view.
 - 8.4 Summarize what has been learned.
 - 8.5 Move on to Warning Card 2, etc.
9. Close the activity with a brief report on future steps and collect all tally cards for use by the IPD committee in establishing a position on teacher evaluation.

ONE-HOUR WORKSHOP PLAN FOR USING
THE EARLY WARNING KIT ON THE EVALUATION OF TEACHERS

	<u>Minutes</u>
1. Distribute Early Warning Kits and pencils to all participants at small-group tables and ask that one person at each table volunteer as recorder.	5
2. Instruct participants to read, individually, all the 10 Warning Cards and Summary Card and circle responses to the questions.	10
3. Each participant should then report his responses to his table group while the recorder tallies them on the Tally Card.	10
4. Record the table tallies on newsprint or blackboard in view of the entire workshop.	5
5. Call for general discussion of the meaning of the tallies. Instruct each table group to select one member to prepare a brief statement on teacher evaluation while the discussion is going on.	15
6. After the general discussion, have each writer read his statement and ask for its acceptance or rejection by the workshop.	5
7. Hold a strategy session on next steps, including how the local association can prepare a defense to unfair evaluation.	10

WARNING CARD 1

Accountability

Does the public, as well as the school administration, believe that teachers should be held accountable for student achievement as measured on standardized tests or other tests?

YES

NO

DON'T KNOW

If YES: Explain how they expect teachers to be accountable.
What action is taken related to those teachers who are not considered accountable?

If NO: How is the subject of accountability viewed in your district?

If DON'T KNOW: How can teachers find out what planning is taking place that might hold teachers responsible for student progress?

(See over)

WARNING: The work of teachers is constantly being evaluated not only by supervisory personnel but by students and by the lay public as it criticizes educational products. Teachers should be prepared to respond affirmatively. One appropriate response is to take a hard look at programs to improve the schools.

It is important to understand that it is invalid and patently unfair to judge teachers on the basis of student achievement on standardized tests. Substantial research supports this conclusion. Teachers need to communicate this understanding to parents. The association can provide teacher-parent channels of communication.

WARNING CARD 2

Tenured Teachers

Are *tenured* teachers in your school district formally evaluated?

YES

NO

DON'T KNOW

If YES: Describe the evaluation process. (When? How often? By whom?)
In what way is this method of evaluation satisfactory or unsatisfactory to teachers?

If NO: What information does the administration gather on teacher performance?
How is the information gathered—and by whom?
How is the information used?

If the answer is NO, teachers may want to proceed through the other cards in the Kit since some form of evaluation may be planned and eventually implemented by the school district.

If DON'T KNOW: How can teachers find out?

(See over)

WARNING: Every teacher should be knowledgeable about the processes by which evaluation is carried out in the school system.

Currently most teachers are evaluated in limited and subjective ways: principal's or supervisor's observations and/or checklists.

Invalid and unreliable methods of evaluating teachers can lead to inaccurate findings and unfair action, such as allegations of incompetence or summary dismissal.

WARNING CARD 3

Nontenured Teachers

Are *nontenured* teachers in your school district formally evaluated?

YES

NO

DON'T KNOW

If YES: Describe the evaluation process. (When? How often? By whom?)
In what way is this method of evaluation satisfactory or unsatisfactory to teachers?

If NO: What information does the administration gather on teacher performance?
How is the information gathered—and by whom?
How is the information used?

If the answer is NO, teachers may want to proceed through the other cards in the Kit since some form of evaluation may be planned and eventually implemented by the school district.

If DON'T KNOW: How can teachers find out?

(See over)

WARNING: Every teacher should be knowledgeable about the processes by which evaluation is carried out in the school system.

Currently most teachers are evaluated in limited and subjective ways: principal's or supervisor's observations and/or checklists.

Invalid and unreliable methods of evaluating teachers can lead to inaccurate findings and unfair action, such as allegations of incompetence, probationary status, or summary dismissal.

WARNING CARD 4

Purposes of Evaluation

There are a number of purposes for evaluation. Some are positive and constructive, others are negative and punitive.

- | | | | |
|----|---|-----|----|
| a. | Is a purpose of evaluation in your district to determine tenure? | YES | NO |
| b. | Is a purpose of evaluation in your district to determine promotion? | YES | NO |
| c. | Is a purpose of evaluation in your district to determine renewal of contract? | YES | NO |
| d. | Is a purpose of evaluation in your district to determine salary increments? | YES | NO |

For each YES response: With what justification can evaluation be used to make these judgments?

For each NO response: Is the purpose of evaluation, then, to help teachers do a better job?

(See over)

WARNING: The major purpose of evaluation should be to help teachers do a better job. Evaluation should take place in a nonthreatening atmosphere with an understanding that the improvement of a teacher's performance is a cooperative effort between him and the evaluator(s). Evaluation should be used by administrators and teachers to help improve teacher competency. If evaluation is conducted in order to hire and fire teachers, there is little likelihood that the evaluation will result in the improvement of instruction.

WARNING CARD 5

Styles of Teaching and Learning

Does the evaluation of teachers take into account variations in teaching styles and in learning styles?

YES

NO

If YES: How are variations in teaching and learning styles defined and explained?
What in-service experiences have been or will be made available to help teachers learn
appropriate teaching styles for different kinds of students?
Do you think these experiences are or will be adequate?

If NO: Are teachers involved in selecting and designing in-service education experiences?
Conversely, if they are not involved, are these decisions made by the administration
or university faculty?

(See over)

WARNING: Most laid-on, administration- or university-designed in-service days are of little value.

Evaluation should lead to improved teacher competence through the provisions of teacher-designed in-service education experiences. Teachers are dissatisfied with traditional in-service education and can make significant changes by contributing to the development and conduct of in-service programs.